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ABSTRACT

This report is the result of a seven-month Urban Institute analysis of ESEA Title I evaluation and technical assistance problems and prospects. The focus of the study was on improvement of Federal and State evaluation and technical assistance related to education of disadvantaged children. During the study, site visits were made to five representative State Departments of Education. Chapter 1 is an overview of the major findings, conclusions, and recommendations of this report. The next three chapters are concerned with evaluation of education programs for disadvantaged children. Chapter 2 is a discussion of Federal Title I evaluation: priorities, present status, next steps. Chapter 3 focuses on State evaluation, and Chapter 4, on local evaluation. Chapter 5 examines the implication of existing methodology for evaluation of the Title I program and discusses requirements for further instrument development. Chapter 6 provides an overview of technical assistance for programs for disadvantaged children; Chapter 7, Federal technical assistance; Chapter 8, State technical assistance efforts; and, Chapter 9, the local role in technical assistance to education programs for disadvantaged children. (Author/JM)

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# Title I Evaluation and Technical Assistance:

## Assessment and Prospects

Joseph S. Wholey
Bayla F. White
Leona M. Vogt
Richard B Zamoff

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# PREFACE

This report is the result of a seven-month Urban Institute analysis of Title I evaluation and technical assistance problems and prospects. The Urban Institute conducted the work in response to requests from the Commissioner's Title I [Elementary and Secondary Education Program] Task Force and from the Office of Program Planning and Evaluation in the U. S. Office of Education. The Urban Institute's work was performed under Office of Education contract OEC-0-70-3311, dated March 16, 1970.

The focus of the study was on improvement of Federal and State evaluation and technical assistance related to education of disadvantaged children. During the study, site visits were made to five representative State Departments of Education--and reports on those site visits have been made available to the Office of Education.

Chapter I is an overview of the major findings, conclusions, and recommendations of this report. The next three chapters are concerned with evaluation of education programs for disadvantaged children. Chapter II is a discussion of Federal Title I evaluation: priorities, present status, next steps; Chapter III focuses on State evaluation; Chapter IV, on local evaluation. Chapter V examines the implication of existing methodology for evaluation of the Title I program and discusses requirements for further instrument development.

Chapter VI provides an overview of technical assistance for programs for disadvantaged children; Chapter VII, Federal technical assistance; Chapter VIII, State technical assistance efforts; and Chapter IX, the local role in technical assistance to education programs for disadvantaged children.

Available in a separate volume is a set of appendices containing information on a variety of topics related to Title I evaluation and technical assistance.

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# I. OVERVIEW

Although evaluation is a mandated activity at every administrative level of the Title I Elementary and Secondary Education program, there is little evidence that past evaluations have had much impact on the operations of the program. Some critics claim that evaluation has had no impact because of inability to measure and record changes in so diverse a program: what should evaluators measure in a program in which objectives and treatments vary from town to town or State to State? Others attribute the failure of evaluation to a lack of adequate methodology: the evaluator lacks adequate tools to measure various aspects of educational growth, much less to account for any changes observed. Still others claim that evaluation results have had little impact because the basic notion of evaluation is a threat to the institution being evaluated.

Yet, despite the problems, evaluation should be a vital part of the $1.2 billion per year Title I program, and the role of evaluation in improving program operations should be strengthened. It is through evaluation that program administrators, parents, teachers, and other interested parties can estimate what impact Title I projects are having on children, teachers, and school systems, and can identify weaknesses in project operations. Using this information, appropriate technical assistance can be provided to improve educational services for disadvantaged children.

The impact of evaluation is directly related to its ability to generate timely and useful information. This report reviews current Federal and State (and to a much lesser extent, local) efforts to evaluate the Title I program and to provide technical assistance in the improvement of program operations. It establishes a framework for Title I evaluation, by differentiating types of evaluation and attempting to identify the relative importance of each type of evaluation for various decisions and decision-makers.

This study finds that, regardless of the decision or the level of decision-making, program reporting, periodic needs assessment, and monitoring (assessment of the managerial and operational efficiency of programs and projects) emerge as the most needed Title I evaluation activities. Before the most basic decision can be made (or before more sophisticated evaluation can take place), information must be available about the populations served, services provided, the costs of providing services, and the relationships among current measures of educational need and contextual variables. Similarly, decision-makers at every level need to have some management assessment of the operations of projects and programs. Project evaluation/project rating and program strategy evaluation come next in importance for decisions concerning the allocation of funds and services for disadvantaged children. These types of evaluation focus on relative effectiveness of different local projects or different program components--

information which is critical to decisions about the most effective allocation of services within the Title I program. Program impact evaluation, which is concerned with the effectiveness of an entire national program, is important only for global decisions on total levels of funding. National program impact evaluation in the Title I program itself is of relatively little use either to local or to State education decision-makers.

With regard specifically to Federal evaluation efforts, despite increases in the past few years in the funds available for evaluation, these resources are still in short supply. Much less than 1% of the Office of Education's budget is used in support of its evaluation activities. Even if the available funds doubled or tripled, however, evaluation efforts would still be hampered by shortages of personnel, by limitations in existing methodology, and by the availability and usability of data on many important aspects of education.

Given all of these limiting conditions, it is important to determine how best to use available Federal evaluation funds to generate useful information for decision-makers. The priority assigned to each type of evaluation depends on several factors: (a) how often particular types of decisions are made, (b) how long it takes to carry out the particular type of evaluation, and (c) whether the evaluation is methodologically feasible. One fact about evaluation is often overlooked: the time required to mount and carry out an evaluation and the period of the decision-making cycle often fail to coincide. Evaluation can be a time-consuming process, with some types of evaluation requiring two or more years to plan and carry out; key educational decisions are often made annually. The inability of evaluation to respond rapidly to the needs of decision-makers makes more difficult attempts to build support for the process of evaluation.

In formulating a long-term strategy for Federal Title I evaluation efforts, this study finds that Congressionally-mandated evaluations of the national impact of the Title I program, of alternative Title I program components, and of individual local Title I projects are all very difficult methodologically, because of the low level of Federal inputs relative to local inputs and because of the absence of suitable comparison groups. The Office of Education should give much higher priority to Federal and State monitoring of Title I operations and comparative rating of the relative outputs of Title I projects with similar objectives. Congressional demands for Title I program reporting and needs assessment should be met but should probably be done on a two-year cycle (since observable changes will occur relatively slowly), in order to free resources for Title I monitoring and project rating. Monitoring and project rating need to be done on an annual cycle, to assist decisions on project refunding and on allocation of technical assistance to individual projects.

The Office of Education should act to shift Title I evaluation resources to systematic project classification and monitoring and to project rating, both to allow more effective (State) management of the Title I program and to aid in detecting promising projects that could later be subjected to more rigorous program strategy evaluation and then given wide dissemination. Title I evaluation should be directed increasingly toward systematic rating

of the relative outputs of different projects with similar objectives and serving similar types of children, to identify which projects appear to work best in which circumstances. (Such comparisons might be made nationally, regionally, or within individual States.) The Office of Education should decide which types of projects are of greatest interest (for example, reading projects, early childhood education projects, dropout prevention projects) and then focus Federal evaluation resources and induce States and localities to focus their own evaluation resources on project rating evaluation designed to pick out the projects that appear to be doing the best job within each of these project categories.

At present, between $2 million and $4 million per year is available for Federal Title I evaluation, but relatively little effort is going into project rating or into improving Title I monitoring. Title I monitoring efforts are quite deficient--hence fine-sounding Title I regulations and guidelines have often been ignored in practice. The largest Federal evaluation expenditures are being made in support of the Belmont system, a cooperative OE-State evaluation effort begun in late 1968. Development of the Belmont system has been guided by two factors: the desire for cooperation between the Office of Education and the States and the need to consolidate existing evaluation and statistical reporting requirements.

Thus far, Belmont has concentrated its efforts on the development of program reporting and needs assessment, although current efforts include the development of output measures and initial steps toward gathering data for project classification (through the Project Descriptor Instrument). Based on a review of the various components--both operational and planned--of the Belmont system, it appears that Belmont is a promising effort at cooperative Federal-State data collection and evaluation, which is potentially very useful for Title I evaluation. The States are pleased with their partnership role in Belmont. Whenever possible, therefore, new cooperative Title I evaluation efforts should be launched under the Belmont umbrella.

Belmont has, however, developed a number of data collection instruments without having a clear data analysis plan and plan for use of the data. Belmont looks like a "big system," in danger of being designed relatively independently of potential users of the system, not furnishing enough short-term help to motivate potential users to invest the staff time required to make the system relevant and, therefore, in danger of being a waste of money. Belmont was started in the right direction. With sufficient staff for Belmont and liaison staff from the Division of Compensatory Education and from State and large city agencies, Belmont could still become a model of cooperative development of data collection and evaluation systems of use to large numbers of Federal, State, and local personnel.

Like the Federal government, State and Local Educational Agencies share responsibility for Title I evaluation. Title I funds are allocated according to a predetermined formula for use by local school districts to support a wide range of services for disadvantaged children. State Departments of Education play a pivotal role in the administration of the Title I program, since the States must approval all local project applications and have responsibility for monitoring local operations to see that they conform both with the letter and the spirit of the law. State evaluation efforts,

like Federal and local efforts, should be directed at improving the effectiveness of education programs and at improving the efficiency of the mechanisms which are involved in the delivery of those programs.

Evaluation is a relatively new phenomenon at the State level. In many cases, the impetus for evaluation came exclusively from Federal requirements and specifically, from the requirements of the Elementary and Secondary Education Act. If the sample of States visited during this study is in the least representative of activities among all 50 States, then it is quite clear that the Federal requirements continue to shape and to dominate State evaluation activities. Unfortunately, while States expend time and effort to meet Office of Education evaluation requirements, the information so generated is rarely useful to the State and only slightly more useful to the Office of Education.

Since FY 1968, the Office of Education has carried out a national survey of selected elementary schools to gather information on compensatory education services and programs. This survey is now part of the Belmont system. In order to supplement the information in the survey, the Office of Education has revised the rather detailed set of questions previously used in the preparation of State annual Title I evaluation reports. Since FY 1968, the requirements for State annual reports have taken the form of between 9 and 13 open-ended questions about Title I activities. These broadly framed questions were intended to remove some of the more burdensome requirements on the States and to allow the States the flexibility to develop evaluation systems more nearly suited to State needs. This does not appear to have happened to any significant degree.

Typically, States send out evaluation guidelines or requests for information to Local Educational Agencies long <u>after</u> the school year had begun. Requests go out in the spring or near the end of the academic year, when the State is in a very poor position to influence either the evaluation design or the kind of information maintained on Title I projects. As a result, the forms collect <u>ex post facto</u> information which should be readily available to any project manager. The exception to this general statement is information collected on student achievement. While most States merely collect whatever test data exist (as opposed to requiring uniform testing or the use of selected tests), the test data are often not processed until late in the summer. The reports filed by the Local Educational Agencies therefore reach the State Departments <u>after</u> decisions on project approval for the next year are made.

The consequences of the timing and the content of State efforts to meet Federal requirements are twofold: (1) the extent to which the State affects local evaluation efforts is minimized, and (2) the utility to the State decision-making process of the information collected is greatly reduced. As presently constructed, the annual State reports provide little information on the extent to which projects are meeting stated objectives. In all too few instances do Title I project evaluation designs include comparison or control groups. The information reported on achievement, while accounting for a significantly greater number of children than does the national survey,

contains nothing to indicate the characteristics of the projects for which data are reported or the characteristics of the pupils involved. States are asked to relate project costs to benefits, but the validity and reliability of the responses--where any are provided--are in question.

What remains as the keystone of State evaluation activities is the variety of activities which we have called "monitoring." Monitoring activities vary in content, structure, organization, and emphases across the States. No matter how haphazardly monitoring activities are carried out, they provide the direct opportunity for the State to influence local project development and to collect information for use by State personnel in decisions about project funding. Models for effective and efficient State program monitoring remain to be developed. Such models will have to take into account the variation that exists among the States in the way evaluation and monitoring activities are organized, the staff involved in such activities, and the resources available for their support.

Because of the strategic role played by State Departments of Education in approving local Title I project applications, the Office of Education should give the highest Title I evaluation priority to improving the State monitoring activities through the development of models for State monitoring. Not one of the States visited during this study had a comprehensive monitoring system. For example, none could ensure that deficiencies found during site visits were corrected. Through a cooperative effort between the Office of Education and several States, several different models for monitoring systems could be developed. The models might contain a common core of information, but could allow for variations in State organization and in the composition of student populations in each State. Similarly, the Office of Education should develop a more systematic approach to its own monitoring of State Departments of Education. There should be a restructuring of the format of the annual State Title I reports to focus primarily on reporting the results of State monitoring activities. This would greatly enhance the value of the annual State report, both to the Federal government and to the State involved in the report's preparation.

In the area of local evaluation, the Office of Education should work with a number of States to develop and test cooperative local evaluation efforts, which would include the use of common evaluation designs and common output measures. Local project evaluation is an integral part of the Title I program, but its utility for decision-making is greatly diminished because the results of these evaluations are neither comparable nor timely. Although the precise amount being spent on local Title I project evaluation is not known, an estimate of $10 million per year is not unreasonable. Most local evaluations are undertaken to fulfill the mandated requirements of ESEA and are often not completed in time to be of use in local decision-making. For local decision-making, evaluations of individual Title I projects should focus on relatively inexpensive short-term comparisons of project results with previously stated performance objectives or with baseline conditions. To support national program planning, the Office of Education should help States to induce greater comparability into local Title I project evaluations and to pool available project evaluation resources into comparative evaluations of groups of projects attempting to deal with the same problem. These cooperative local evaluations should make

use of the same output measures, the same definitions of project contexts and populations served, and the same methodology to estimate the relative outputs of comparable projects.

Local Educational Agencies should work together to establish cooperative mechanisms for more uniform, comparable, objective evaluation of the degree of effectiveness of alternative compensatory education strategies under varying circumstances. Groups of school districts should organize to collect comparable output data for projects with similar objectives serving similar groups of children. This would assist project rating and monitoring activities, greatly strengthen the Project Descriptor effort within the Belmont system, and could provide the basis for subsequent program strategy evaluation.

One problem which is common to evaluation efforts at every level is the inadequacy of existing evaluation methodology for the Title I program. As a result, most evaluations of federally aided compensatory education programs have failed to meet even minimal requirements. The best of the Title I project evaluations done to date usually are little more than educational audits designed to meet annual deadlines set by the Office of Education and State Departments of Education. As increased emphasis is devoted to setting project objectives in measurable terms, and to encouraging evaluation against these objectives, the identification of research instruments currently available to assess the extent of progress toward Title I's many objectives should be of great value to LEA's, SEA's, and the Office of Education in both their evaluation and technical assistance efforts.

Traditional evaluations of Title I projects have relied primarily on tests of cognitive skills to measure the impact of the whole range of Title I supported activities. In part, this results from a lack of agreement on what kinds of evidence, other than test scores, would be acceptable as measures of educational impact; however, the preeminence of cognitive tests also results from the fact that evaluators lack the tools necessary to measure non-cognitive growth with equal reliability and confidence. It is clear that instruments must be developed and/or tested which focus on affective measures of student performance, as well as measures of institutional change associated with the introduction of compensatory education programs. There is a need for the Office of Education and, in turn, the States and local districts to agree upon and to define more clearly objectives for the Title I program. The Office of Education should make clear the kinds of evidence it would require in order to know whether Title I is working well. This will necessitate a careful sorting out of numerous objectives articulated in the Title I legislation and in project proposals from local school districts. The Office of Education should support the development of more sophisticated research instrumentation and evaluation to measure progress toward Title I goals, and should play a major role in developing new measures for assessing the effects of the Title I program on students, teachers, and on the institutions of education.

Both educators and researchers should stop behaving as if there were only one kind of evaluation (that results in a program's continuation or phasing out) and should work to develop more appropriate strategies for ongoing evaluations--where the questions of continuing the program is not at issue, but where the evaluative function is to identify the strengths and weaknesses of the elements in a program with a view towards improvement. Seen in this light, evaluation activities become the keys to the identification of specific areas where technical assistance can aid a program or project.

Technical assistance has generally meant providing Federal advice and technical consultation to State and local "partners." The technical assistance process for compensatory education programs, however, should not be a rigid, one-way, vertical effort (from the Federal to the State and/or local levels), but a cooperative process to provide help and guidance to meet needs at <u>all</u> levels in the development and operation of compensatory education programs. The Federal government need not always be the provider of technical assistance to the States and through them to school districts. Although the Federal government will generally be the logical source for assistance in the interpretation of legal requirements, State and Local Educational Agencies should often be sources of assistance in program planning and development, assistance in the improvement of project operations, and assistance in the design and use of evaluation. Thus, every level of educational administration--Federal, State, and local--may both offer and receive assistance in improving program operations.

Since the enactment of Title I, the type of technical assistance offered has been primarily passive in nature, flowing from the Office of Education down through the States to school districts in response to requests for clarification about how Title I funds may be used. Too little attention has been devoted to providing assistance in improving project planning, operations, or evaluation. At all levels of Title I administration, more emphasis should be placed on the improvement of the content, the management, the operations of compensatory projects and on the strengthening of evaluation activities.

Federal technical assistance efforts have centered primarily on the interpretation of guidelines and on responding to questions concerning project applications. Federal technical assistance in the Title I program should be diversified: the Office of Education has an important role to play in improving program planning and development through the dissemination of tested methods or promising techniques for working with disadvantaged children; OE can be a resource for the improvement of management techniques useful to both State and local personnel; and OE should offer active technical assistance to bolster the State role in helping school districts to collect and use evaluative data, to design and implement evaluation studies, and to assess the effects of evaluation on the direction of Title I projects.

At the present time, the Office of Education has no mechanism for evaluating the success of existing technical assistance efforts. Little attempt has been made by the Title I program to discover what types of technical assistance mechanisms exist in other Federal or State compensatory programs;

hence, little or no coordination exists among those programs. Moreover, the Office of Education lacks adequate procedures for determining needs for technical assistance.

To improve this situation, the Office of Education, in cooperation with several State Educational Agencies, should develop and evaluate several models for the delivery of technical assistance within a State. Although each model would include a means of determining what types of assistance are needed, the services provided and the techniques used would vary. In addition, the Division of Compensatory Education should assess annually State and local technical assistance needs, should review the general programmatic weaknesses which have been uncovered, and should reappraise its own staff capability to meet the needs identified.

The Office of Education should develop, as soon as possible, a means of assessing the impact of the technical assistance it provides. Criteria for determining which types of technical assistance work best should be developed as a joint Federal-State-local effort. In addition, the Office of Education should require that States include in their annual report an assessment of their technical assistance efforts, with appropriate plans for evaluating the following year's technical assistance efforts.

Like Federal efforts, State assistance to local Title I projects tend to be informal and inadequate. State efforts are constrained by lack of resources, lack of staff skills, and absence of clearly developed objectives and priorities for technical assistance and a lack of methods for evaluating the assistance provided. State Educational Agencies should overcome their "one-dimensional" view of technical assistance, i.e., that technical assistance is always delivered vertically from the State to local school authorities. Instead, States should consider providing and receiving technical assistance horizontally. Not only should they try to initiate cooperative arrangements among school districts, but they also should try to develop cooperative arrangements with other States in order to share expertise among State personnel. Such approaches would not only develop staff competencies in the agencies involved but also enable the States to provide technical assistance more efficiently and systematically to groups of clients.

No systematic attempt has yet been made to assess the impact of technical assistance provided to the State Departments of Education or the technical assistance provided by the States to school districts. State Department staffs could make a substantial contribution by identifying their greatest needs and providing data on the extent to which these needs are being met by various types of technical assistance provided by the Office of Education. The State authorities can also help by identifying mechanisms that they have used to provide technical assistance to school districts (and any other clients) and by evaluating the efficacy of their technical assistance efforts.

The large school districts represent an important potential resource for providing technical assistance. They often possess resources and technical skills which are at least equal to those of Federal and State agencies. Insufficient attention has been given to the capabilities of

school systems to provide other school systems, State Departments, and the Office of Education with technical assistance in some important areas. It would be worthwhile to develop and demonstrate new mechanisms which would enable local districts to cooperate with the Federal and State levels by sharing the expertise they have developed in providing technical assistance to their own local projects. Some larger school districts may possess the capabilities to deliver technical assistance directly to other districts. And local school officials appear well equipped and willing to provide the Office of Education with basic information necessary to develop and expand technical assistance mechanisms.

The Division of Compensatory Education should help local districts to develop cooperative arrangements to increase technical assistance expertise--both their own and that of the State. Funds available under the Education Professions Development Act might be earmarked specifically for in-service training in the development and provision of various kinds of technical assistance services. The Office of Education should support pilot grants to local districts willing to demonstrate cooperative technical assistance arrangements with other school districts.

The Elementary and Secondary Education Act of 1965 was the first major piece of education legislation to require annual evaluation of program effectiveness. Federal, State, and Local Educational Agencies are all involved in assessing Title I project effectiveness and in attempts to improve program operations. This report emphasizes the need for the Office of Education to strengthen State Title I evaluation and technical assistance in order to improve the education of disadvantaged children--and the need for the Office of Education to develop and test evaluation and technical assistance models that are appropriate to different educational settings.

# II. FEDERAL TITLE I EVALUATION: PRIORITIES, PRESENT STATUS, AND NEXT STEPS

This chapter examines the major Federal, State, and local decisions related to education of disadvantaged children, the most important types of evaluative data that could assist these decisions, relationships between decision timing and the times required for the evaluation, and the methodological feasibility of each of the major types of Title I evaluation. The chapter includes a discussion of the organization of Federal efforts to evaluate Title I, an assessment of the Belmont system, recommendations on how the Office of Education can improve existing Title I evaluation efforts, and recommendations on useful new directions for Title I evaluation.

## A. Introduction

Evaluation is a complex and often expensive undertaking which attempts to provide objective information about the operations, costs, and effects of national programs, and of local projects. Evaluations differ from one another in size, scope, purpose, design, level of complexity, and costs. But all evaluations share one common element: each seeks to improve the current operations of the program being evaluated and to have an impact on plans for future programs.

For the purposes of this report, we have identified eight common types of evaluation activities 1/: (1) program impact evaluation; (2) program strategy evaluation (including evaluation of sets of field experiments and sets of experimental demonstration projects designed to test the relative effectiveness of alternative strategies and techniques within a program); (3) project rating; (4) local project evaluation; (5) monitoring; (6) program reporting; (7) needs assessment; and (8) cost analysis. The appropriateness of each type of evaluation for education programs will depend on the type of decision to be affected, the availability of data for conducting the evaluation, and the resources available (manpower, money, and methodology). 2/

Evaluation is a mandated activity in the Title I program, and every level of government is involved. Yet, evaluation of the Title I program is extraordinarily complex. At the local project level, where all evaluations must start, Title I funds can be used to finance a broad range of

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1/ For a more extensive discussion of each of these activities, see Appendix B.

2/ See Appendix C for a discussion of the types of data needed for decisions regarding the education of disadvantaged children.

activities from preschool through high school. Individual projects may differ in almost every dimension. Levels of funding vary from a few dollars to several hundred dollars per child--but the Title I expenditures are ordinarily relatively meager compared to regular expenditures from State and local funds. These are but a few of the problems which confront those who attempt to evaluate Title I projects. Regardless of these difficulties, evaluation activities continue.

This chapter is concerned with what kinds of evaluation are appropriate for education programs for disadvantaged children and for the Title I program in particular. It attempts to establish a framework for evaluating a program which operates in all 50 States and in more than 16,000 local school districts, a program whose planning and administration involves the Executive and Legislative branches of the Federal government, State legislatures and Departments of Education, local school officials and parents, as well as interested citizens and the ultimate beneficiaries--the students. The improvement of management and operation of evaluation activities at the Federal level is the primary concern of this chapter, although there are some discussions of how State and local evaluation efforts can be strengthened.

## B. Types of Evaluation which can Assist Decisions Relating to the Education of Disadvantaged Children

Evaluations of the Title I program--and of all education programs for the disadvantaged--are designed to influence a series of decisions concerning the amount and type of services to be provided. Evaluative information can be useful for the following decisions:

1. The amounts of Federal, State, and local appropriations/expenditures for elementary and secondary education;

2. The allocation of general education funds among school districts and among schools within a district;

3. The allocation of funds for the education of disadvantaged children among school districts and among schools within a district;

4. The selection of types of local projects for the education of disadvantaged children;

5. The selection of staff for the education of disadvantaged children; and

6. Decisions concerning the day-to-day operations of education programs for disadvantaged children.

The key decision-makers involved in these decisions vary, depending on the level at which the decision is made. Similarly, the types of evaluation which could assist these decisions vary. Table II-1 lists the major decisions related to the amounts and types of services provided for

TABLE II-1

Relationships Among Decisions, Decision-Makers, and the Types of Evaluation Relevant to the Education of Disadvantaged Children

| Decisions | Major Decision-Makers | Types of Evaluation that Could Assist These Decisions [a] | | | | | |
|---|---|---|---|---|---|---|---|
| | | Program Impact Evaluation | Program Strategy Evaluation | Project Evaluation/ Rating | Monitoring | Program Reporting/ Needs Assessment | Cost Analysis |
| 1. Amounts of appropriations/ expenditures for elementary and secondary education | | | | | | | |
| -- Federal funds | Congress, President/ OMB, HEW/OE | (3) | (4 ?) | | (2) | (1) | |
| -- State funds | State legislature, Governor, SEA | (3 ?) | (4 ?) | | (2) | (1) | |
| -- local funds | Local government, school board, LEA administrators | (3 ?) | (4 ?) | (5 ?) | (2) | (1) | |
| 2. Allocation of general education funds among school districts and among schools within a district | | | | | | | |
| -- Federal funds | Congress, President/ OMB, HEW/OE, SEA, LEA administrators | | | | (2) | (1) | |
| -- State funds | State legislature, Governor, SEA, LEA administrators | | | | (2) | (1) | |

[a] Types of evaluation are ranked from most important /(1)/ to least important for each of the decisions examined (see Appendix B for definitions of types of evaluation). These rankings are not affected by considerations of present availability of data.

Blanks indicate types of evaluation that are not important for the decisions under consideration.

"?" indicates decision-makers who may possibly be involved and types of evaluation that may have some value for the decisions.

TABLE II-1 (Continued)

| Decisions | Major Decision-Makers | Types of Evaluation that Could Assist These Decisions | | | | | |
|---|---|---|---|---|---|---|---|
| | | Program Impact Evaluation | Program Strategy Evaluation | Project Evaluation/ Rating | Monitoring | Program Reporting/ Needs Assessment | Cost Analysis |
| 2. (continued) | | | | | | | |
| -- local funds ) | LEA administrators, school boards | | | (3 ?) | (2) | (1) | |
| ) | HEW/OE (?); SEA (?) (enforcing comparability guidelines) | | | | (1) | (3) | (2) |
| 3. Allocation of funds for education of disadvantaged children among school districts and among schools within a district | | | | | | | |
| -- Federal funds | Congress, President/ OMB, HEW/OE, SEA, LEA administrators, school board | | (4) | (3) | (2) | (1) | |
| -- State funds | State legislature, SEA, LEA administrators | | (4) | (3) | (2) | (1) | |
| -- local funds | LEA administrators, school board | | (4) | (3) | (2) | (1) | |
| 4. Selection of types of local projects for education of disadvantaged children | | | | | | | |
| -- Direct (Federal or State) project grants | OE or SEA, LEA administrators, teachers, parents (?) | | (2) | (3) | (4) | (1) | (5) |

TABLE II-1 (Continued)

| Decisions | Major Decision-Makers | Types of Evaluation that Could Assist These Decisions | | | | | |
|---|---|---|---|---|---|---|---|
| | | Program Impact Evaluation | Program Strategy Evaluation | Project Evaluation/ Rating | Monitoring | Program Reporting/ Needs Assessment | Cost Analysis |
| 4. (continued) | | | | | | | |
| -- Most projects (including Title I) | LEA administrators, SEA, teachers, parents (?) | | (2) | (3) | (4) | (1) | (5) |
| 5. Selection and assignment of staff for education of disadvantaged children | LEA administrators, individual teachers, teachers' associations/unions, parents (?), SEA, State legislature | | (3) | (4) | (1) | (2) | |
| 6. Operational day-to-day decisions in education of disadvantaged children | Teachers, principals, LEA administrators, teachers' associations/unions | | (4) | (2) | (1) | (3) | |

the education of disadvantaged children, identifies the major decision-makers involved in each, and summarizes the relative importance of each type of evaluation. 3/

An examination of the information presented in Table II-1 leads to several observations about the types of evaluation activities most appropriate to the Title I program. Regardless of the decision or the decision-makers involved, program reporting, needs assessment, and monitoring (assessment of the managerial and operational efficiency of programs and projects) emerge as the most needed Title I evaluation activities. The reason for this is apparent: before the most basic decision can be made (or before the most sophisticated evaluation can take place), information must be available about the populations served, services provided, the costs of providing services, and the relationships among measures of educational need and contextual variables. Similarly, decision-makers at every level need to have some assessment of the operational efficiency of projects and programs. Project evaluation/project rating and program strategy evaluation come next in importance for decisions concerning the allocation of funds and services for disadvantaged children. These types of evaluation should focus on relative project or program success--information which is critical to decisions about the most effective allocation of services and scarce resources. Program impact evaluation, which is concerned with the effectiveness of an entire program, is important only for global decisions on total levels of funding. Program impact evaluation in the Title I program itself is of relatively little use either to local or to State education decision-makers.

## C. Priorities for Federal Title I Evaluation Efforts

The foregoing discussion exclusively focused on the appropriateness of the different types of evaluation to decisions and decision-makers at all educational levels, rather than on the types of evaluation which the Federal government should pursue in the Title I program. The remainder of this chapter will deal primarily with the Federal government's role in evaluating education programs for the disadvantaged and the Title I program in particular.

Despite increases in the past few years in the amount of money available to evaluate Federal education programs, resources are still in short supply. Much less than 1% of the Office of Education's budget is used in support of its evaluation activities. And even if the available funds doubled or tripled, evaluation efforts would still be hampered by shortages of personnel, by limitations in existing methodology, and by the availability

3/ See Appendix C for an expanded discussion of the types of evaluation which can assist decisions relating to the education of disadvantaged children.

and usability of data on many important aspects of education programs. Given all of these limiting conditions, it is important to determine how best to use available Federal evaluation funds to generate useful information for decision-makers. Seen in this light, the eight types of evaluation identified in this report become means by which to influence decisions about the Title I program. The results of each type of evaluation can affect several different decisions. The appropriateness of each type of evaluation depends on several factors: (a) how often the policy decisions to be affected are made; (b) how long it takes to carry out the particular type of evaluation; and (c) whether the evaluation is methodologically feasible. Table II-2 takes each type of evaluation and summarizes (a) the decisions which could be affected by that evaluation; (b) the relationships between decision timing and the time required for evaluation; (c) the present availability and methodological feasibility of obtaining the necessary evaluative data; and (d) the tentative priority for that type of evaluation.

Table II-2 points up a fact about evaluation that is often overlooked: the time required to carry out an evaluation and the time of the decision-making cycle often do not coincide. In discussing evaluation, very often one really means the results of an evaluation and <u>not</u> the whole process of evaluation, from design through data collection and analysis. Evaluation is more than just a written report--it is a process--often a time-consuming process. Twelve months is probably the minimum time necessary for the Office of Education to design and carry out an evaluation, which involves the collection of data on an entire school year. At this stage in Federal evaluation efforts, 12 months is an ideal rarely achieved. Decisions, on the other hand, are often made annually; and decision-makers continue to pose questions which cannot be answered in 12 months. This inability of evaluation to respond rapidly to the needs of decision-makers makes more difficult attempts to build support for the process of evaluation.

Similarly, many evaluations cannot be done in time to fit annual cycles (are harmed if one tries to tailor them to crash deadlines), and need not be done annually to be useful. In assigning priorities to evaluation, officials should take into account what decisions are to be affected, and how much time each type of evaluation requires.

When all of the factors cited in Table II-2 are taken into account, the following priorities emerge for Federal Title I evaluation efforts:

| High | Relatively High | Moderate | Relatively Low | Low |
|---|---|---|---|---|
| Program Reporting/ Needs Assessment | Project Rating | Cost Analysis | Program Strategy Evaluation | Program Impact Evaluation |
| Monitoring | Project Evaluation | | | |

TABLE II-2

Considerations in Developing Title I Evaluation Priorities

| Types of Evaluation | Decisions That Could be Affected | When the Decisions Occur | Time Required to Complete the Evaluation | Methodological Feasibility | Tentative Title I Evaluation Priorities |
|---|---|---|---|---|---|
| Program Impact Evaluation | 1.* Amount of appropriations/ expenditures for elementary and secondary education | Annual cycle (biennial evaluation is probably sufficient) | At least 18 months to 2 years | Very difficult to estimate the national impact of the Title I program because of the low level of Federal inputs relative to State and local inputs and because of the absence of suitable comparison groups. | Program impact evaluation should have <u>low priority for Title I</u>. |
| Program Strategy Evaluation | 1. Amount of appropriations/ expenditures for elementary and secondary education (?) | Annual cycle | One to three years | Very difficult to estimate the relative effectiveness of different Title I program strategies because of the high cost of collecting appropriate input and process data and because of the absence of controlled assignments of different treatments to similar populations. | Program strategy evaluation should have a <u>relatively low priority</u> for Title I <u>but a much higher priority</u> for those programs in which systematic attempts are made to test the relative effectiveness of different approaches to education of disadvantaged children (e.g., Follow Through, a portion of the Head Start program, or any other program where the Federal government, one or more SEA's, and/or one or more LEA's is willing to test and evaluate the relative effects of different approaches to education of disadvantaged children). |
| | 3. Allocation of funds for education of disadvantaged children among school districts and among schools within a district | Annual cycle | | | |
| | 4. Selection of types of local projects for education of disadvantaged children | Annual cycle | | | |
| | 5. Selection and assignment of staff for education of disadvantaged children | Annually or more frequently | | | |
| | 6. Operational day-to-day decisions in education of disadvantaged children | Daily | | | |
| Project Rating | 3. Allocation of funds for education of disadvantaged children among school | Annual cycle | Relatively short: one month to one year (once the | Feasible given availability of suitable (short-term) output measures and measures | Project rating should have a <u>relatively high priority</u> for Title I. It is a relatively |

* Numbers refer to the six sets of decisions summarized in the preceding section and discussed in detail in Appendix C.

TABLE II-2 (Continued)

| Types of Evaluation | Decisions That Could be Affected | When the Decisions Occur | Time Required to Complete the Evaluation | Methodological Feasibility | Tentative Title I Evaluation Priorities |
|---|---|---|---|---|---|
| Project Rating (continued) | districts and among schools within a district | | information necessary to do project rating is available). | of appropriate characteristics of project participants and of the social and economic contexts in which the projects operate. In most cases, it will make sense to rate projects against one another only if they have similar objectives, serve similar children, and operate in similar contexts. | inexpensive extension of a systematic project classification and monitoring function. It can serve as a screening device giving initial indications of what projects are most successful and what projects are least successful, thus picking out projects that should be included in subsequent (more expensive) program strategy evaluation efforts. |
| | 4. Selection of types of local projects for education of disadvantaged children | Annual cycle | | | |
| | 5. Selection and assignment of staff for education of disadvantaged children | Annually or more frequently | | | |
| | 6. Operational day-to-day decisions in education of disadvantaged children | Daily | | | |
| Project Evaluation | 3. Allocation of funds for education of disadvantaged children among school districts and among schools within a district | Annual cycle | Several months to two years or more | Very difficult to estimate the effects of local Title I projects because of the low level of Federal inputs and because of the absence of suitable comparison groups. | Very large sums of Title I funds (perhaps $10 million+ per year) are being spent on noncomparable, unrelated evaluations of individual Title I projects.<br>(1) Title I should give relatively <u>high priority</u> to inducing greater comparability among local Title I project evaluations, to make it possible to develop project ratings (estimating the relative effects of projects with similar objectives and serving similar populations).<br>(2) Title I should give relatively <u>high priority</u> to requiring that unrelated local Title I project evaluations focus on the degree to which the projects' performance objectives have been attained. |
| | 4. Selection of types of local projects for education of disadvantaged children | Annual cycle | | | |
| | 5. Selection and assignment of staff for education of disadvantaged children | Annually or more frequently | | | |
| | 6. Operational day-to-day decisions in education of disadvantaged children | Daily | | | |

TABLE II-2 (Continued)

| Types of Evaluation | Decisions That Could be Affected | When the Decisions Occur | Time Required to Complete the Evaluation | Methodological Feasibility | Tentative Title I Evaluation Priorities |
|---|---|---|---|---|---|
| Monitoring | 1. Appropriations/expenditures for elementary and secondary education | Annual cycle | The process should be continuous (within each State). Monitoring of a single local project will typically take one to several days. | Monitoring is always feasible. The key methodological questions concern systematization of the monitoring process: introduction of a focus on estimated outputs, introduction of systems for classifying projects into groups of projects within which it makes sense to make comparisons, introduction of procedures that will result in more reliable monitoring. | The development of systematic monitoring procedures for State Title I programs should have high priority. Systematic monitoring of local Title I projects and other projects for education of disadvantaged children should have high priority for SEA's. |
| | 2. Allocation of general education funds among school districts and among schools within a district | Distribution formulas are revised rarely | | | |
| | 3. Allocation of funds for education of disadvantaged children among school districts and among schools within a district | Distribution formulas are revised rarely | | | |
| | 4. Selection of types of local projects for education of disadvantaged children | Annual cycle | | | |
| | 5. Selection and assignment of staff for education of disadvantaged children | Annually or more frequently | | | |
| | 6. Operational day-to-day decisions in education of disadvantaged children | Daily | | | |
| Program Reporting/ Needs Assessment | 1. Appropriations/expenditures for elementary and secondary education | Annual cycle (biennial evaluation is probably sufficient) | Variable: from a few months to a year or more | No special methodological problems. There are important practical problems in ensuring that the program and needs assessment data are timely, reliable, relevant--and not so voluminous as to make the system more costly than it is worth. | Program reporting and needs assessment data should have a high priority for Title I but should not be pursued to the exclusion of other evaluation activities--especially since timing is considerably less crucial for these types of data than for monitoring and project rating information. |
| | 2. Allocation of general education funds among school districts and among schools within a district | Distribution formulas are revised rarely | | | |

TABLE II-2 (Continued)

| Types of Evaluation | Decisions That Could be Affected | When The Decisions Occur | Time Required to Complete the Evaluation | Methodological Feasibility | Tentative Title I Evaluation Priorities |
|---|---|---|---|---|---|
| Program Reporting/ Needs Assessment (continued) | 3. Allocation of funds for education of disadvantaged children among school districts and among schools within a district | Distribution formulas are revised rarely | | | |
| | 4. Selection of types of local projects for education of disadvantaged children | Annual cycle | | | |
| | 5. Selection and assignment of staff for education of disadvantaged children | Annually or more [illegible]ntly | | | |
| | 6. Operational day-to-day decisions in education of disadvantaged children | Daily | | | |
| Cost Analysis | 2. Allocation of local educational funds among schools within a district | Annual cycle | A few months to a year | There are difficult methodological problems in estimating school-by-school expenditures (except in those school districts that keep their books on a school-by-school basis) or in estimating the total costs of educating a particular group of disadvantaged children | Comparative cost analysis should have moderate priority for Title I. Such cost analyses are needed especially to check comparability of State and local expenditures in the Title I and non-Title I schools within a district and to ensure that greater amounts of Title I funds are going to the most disadvantaged schools within a district. |
| | 4. Selection of types of local projects for education of disadvantaged children | Annual cycle | | | |

1. Program impact evaluation. At the present time, Title I program impact evaluation should have low Title I evaluation priority among Federal evaluation efforts for two reasons: (a) it is difficult or impossible to separate the effects of low levels of Title I expenditures from the effects of other expenditures on education of disadvantaged children; (b) Title I projects are only rarely designed with suitable control or comparison groups. Although appropriation decisions which might be affected by program impact evaluation are made annually, this type of evaluation generally takes more than 12 months to execute.

2. Program strategy evaluation. Program strategy evaluation is a high cost, low payoff investment within Title I and should therefore have a relatively low Title I evaluation priority. Program strategy evaluation should have a much higher priority within those Federal, State, or local compensatory education programs (such as the Follow Through program) in which systematic attempts are made to test the relative effectiveness of alternative approaches to education of disadvantaged children. Evaluation of the relative effectiveness of different compensatory program strategies should be longitudinal in design; should take into account all major school programs, not just compensatory programs; should gather data on the social class of individual students, classrooms, and schools; must use systematic and consistent testing; should describe programs in sufficient detail to allow identification of variations in inputs among grades and among schools; and should develop techniques for expenditure accounting by school and, if possible, by grade within schools.

The Title I program was not designed as a vehicle for systematically testing alternative strategies for compensatory education. Although a researcher could no doubt define several program strategies and find each strategy in operation in several school systems, the Office of Education has no direct control over their operation. Program strategy evaluation would therefore be difficult and would probably not be definitive in the Title I program, where inputs and organization of inputs are difficult to define and measure and where effects of program components will be intermingled, in unknown ways, with effects of other forces.

3. Project evaluation and project rating. Local project evaluation is an integral part of the Title I program, but its utility for decision-making is generally diminished because the results of these evaluations are neither comparable nor timely. Although the precise amount spent on local project evaluation is not known, an estimate of $10 million per year is not unreasonable. Most local evaluations are undertaken to fulfill the mandated requirements of ESEA and are often not completed in time to be of use in local decision-making. For local decision-making, evaluations of individual local projects should focus on relatively inexpensive short-term comparisons of project results with previously stated performance objectives or with baseline conditions. To support national program planning, the Office of Education should help States to induce greater comparability into local Title I project evaluations and to pool available project evaluation resources into comparative evaluations of groups of projects attempting to deal with the same problem. These cooperative local evaluations should make use of the same output measures, the same definitions of project contexts and populations served, and the same methodology to estimate the relative outputs of comparable projects.

Introduction of greater comparability among local project evaluations would lead to the possibility of project rating. Project rating has not been done in Title I to date but is feasible for groups of Title I projects that have similar objectives, operate in similar environments, and serve similar populations--if the projects can be induced to use some comparable output measures (preferably short-term output measures).

4. Monitoring. Systematic monitoring of Title I projects can assist the whole range of decisions from the global to the specific. Present Title I monitoring efforts are quite deficient. Some typical problems with current monitoring activities are the following: (a) assessments are too subjective, relying on impressions gathered through unstructured interviews; (b) assessments are not reliable enough to allow comparisons among groups of projects; (c) monitoring personnel receive little or no training; (d) there is no systematic follow-up to determine what changes are made in project operations; (e) there is no system for funneling Title I program monitoring information from the States to the Office of Education.

The Title I program needs systems for State Educational Agency classification and monitoring of Title I projects, perhaps combining assessments of degree of project compliance with Federal and State regulations and guidelines, assessment of project quality, and financial audits. Division of Compensatory Education monitoring of SEA's should also have a high priority for Title I.

Increasing the scope of audits conducted by audit offices to include checking compliance with Federal and State regulations and guidelines, both financial and non-financial, seems feasible and desirable. In addition, the Office of Education should experiment with increasing the scope of the annual financial audits contracted for by the districts, to include checking compliance with Federal and State regulations and guidelines.

5. Program reporting/needs assessment. These activities ought to have high priority for Federal Title I evaluation efforts, since not only will they generate useful descriptive information about the program, but they will also provide baseline information needed for the design of other types of evaluation.

The time required to gather program reporting and needs assessment data varies from a few months to a year or more. There are important practical problems in ensuring that these data are timely, reliable and relevant--and not so voluminous as to make the system for data collection more costly than it is worth.

The collection of program reporting and needs assessment data should have high priority among Federal evaluation activities, but should not be pursued to the exclusion of other evaluation activities. It may be sufficient to collect some program reporting/needs assessment data on a two-year cycle, thereby freeing limited evaluation funds to be used on other types of evaluation.

6. Cost Analysis. Comparative cost analyses can be a valuable tool in providing information on comparability of local expenditures among schools within a district. Accurate information on relative costs of various types of projects can also assist decisions on project selection, even in the absence of data on relative project effectiveness.

There are methodological problems involved in gathering comparable information on school-by-school expenditures. The Office of Education should develop cost analysis/cost estimating systems which could be used to determine the extent to which local services are being made comparable among Title I and non-Title I schools.

D. The Organization of Federal Evaluation Efforts

Many different units within the Office of Education and several outside OE have a part in Federal evaluation activities. From time to time, the Office of Management and Budget (formerly the Bureau of the Budget) plays an active role in defining issues to be investigated in subsequent evaluations, but to date, this agency has not conducted its own evaluations independently of OE. The Elementary and Secondary Education Act created the National Advisory Council on the Education of Disadvantaged Children (NAC) and gave it some responsibility for evaluating the Title I program. During the first years of its existence, the NAC sent observers out into school districts across the country to record and report on the progress and problems of Title I. In recent months, the NAC has been inactive; its last report was issued in January 1969. Congressional committees have also been active from time to time in gathering information about the Title I program.

While important, all of these activities are clearly ancillary to the evaluation activities carried on directly by OE or its parent organization, the Department of Health, Education, and Welfare. During the five years since the enactment of Title I, evaluation responsibilities within OE/HEW have shifted almost rhythmically, altering the role played by each administrative unit. Federal evaluation activities fall into two rather distinct phases: Phase I covers the first two years of the program's life and represents the time of ascendancy of the Division of Compensatory Education (DCE) in the formulation and execution of Title I evaluation. Phase II begins with the decision, in late 1967, to conduct a national survey in order to satisfy the mandated evaluation requirement and coincides with the centralization of Title I evaluation responsibilities in the Bureau of Elementary and Secondary Education (BESE). Not only did the organizational responsibilities for Title I change, FY 1968 marks a change in the substantive issues of evaluation. Emphasis shifted from the evaluation of Title I-funded projects to the evaluation of education programs for the disadvantaged, regardless of source of funding.

Today, the evaluation activities for the Title I program are primarily the responsibility of BESE, and are subsumed under the umbrella of the "Belmont system." 4/ Although Belmont has accounted for a large share of

4/ The Belmont system is discussed in some detail in the next section.

the money appropriated specifically for evaluation, several administrative units in addition to BESE have some involvement in Title I evaluation activities as we have defined them in this report. A brief description of the Title I evaluation activities of each of those units follows.

1. Division of Compensatory Education (DCE). Although DCE has no official evaluation responsibility, it continues to influence the direction of the Title I program through the development of guidelines and the issuance of instructions concerning all aspects of project administration. In recent months, DCE has begun a series of Program Reviews or monitoring visits to State Departments of Education.

2. Bureau of Elementary and Secondary Education (BESE). The Office of Program Planning and Evaluation in BESE has primary responsibility for the development and operation of the Belmont system for evaluation. Title I is one of several Federal education programs covered under the Belmont system. Prior to FY 1970, the Belmont system gathered primarily needs assessment/program reporting data. Present plans for the Belmont system call for the collection of other types of evaluative data. Coordination between BESE and DCE in the development and implementation of the Belmont system has been far from systematic.

3. Office of Program Planning and Evaluation (OPPE). This unit functions at the Commissioner's level and has overall responsibility for all OE evaluation activities. OPPE has, in the past, studied particular aspects of compensatory education, such as the AIR study of "successful" compensatory projects and the in-house OPPE estimates of achievement success and failure cited in the 1970 Presidential message on education. OPPE must approve the expenditure of all funds earmarked for evaluation.

4. National Center for Educational Statistics (NCES). The NCES, by virtue of its forms clearance responsibility, serves as a control in the development of evaluation instruments. During the early years of Title I, the NCES was responsible for several attempts to develop cost/benefit models for the program. NCES staff are sometimes called upon to draw samples for evaluation surveys, and some of NCES' own survey activities yield information used in Title I evaluation.

5. Division of State Agency Cooperation (DSAC). This Division, which is a part of BESE, monitors the operations of State Departments of Education through its State Management Reviews (SMR's). Each SMR is a cooperative Federal-State review of State Agency operations along functional lines. Title I is included in the review, along with other Federal programs.

6. Assistant Secretary for Planning and Evaluation (ASPE). This unit, in the Office of the Secretary of HEW, oversees all evaluation activities in the Department. It has control over a portion of the available education evaluation funds, which are used in support of evaluation and monitoring studies of its own design and choosing.

7. HEW Audit Agency 5/. Although they have some serious limitations, audits conducted by HEW audit staff have been a very important source of information on what is going on in Title I projects. HEW auditors visit some SEA's and a sample of LEA's during the course of a year. Their reviews include a check on SEA and LEA compliance with Title I financial and non-financial guidelines.

E. Present Federal Evaluation Efforts: The Belmont System

In FY 1970, the budget for the Office of Education included a total of $14.5 million earmarked for support of planning and evaluation activities. These funds were spread over all the activities of OE, but the largest portion, $8.8 million was appropriated for elementary and secondary education activities. Of this money, $5 million was to be distributed to the States and the remaining $3.8 million was to be used for OE evaluation studies. 6/ (In FY 1969, OE spent only $3 to $4 million on evaluation; of this total, approximately $600,000 was spent on evaluation contracts relating to Title I.)

In addition to funds specifically earmarked for evaluation, evaluation activities can be supported by other appropriations. For example, the Office of Management Information (OMI) is responsible for data processing in OE and sometimes provides funds for the processing of evaluation survey data. Monitoring activities of the HEW Audit Agency and the Division of State Agency Cooperation and the Division of Compensatory Education are paid for out of regular "salaries and expenses."

Funds for evaluation are administered by the Office of the Deputy Assistant Secretary for Planning, Research, and Evaluation (DASPRE) in OE. By mutual agreement, the Assistant Secretary for Planning and Evaluation (HEW) administers 25% of the evaluation funds. For the remainder, the Bureaus within OE develop evaluation plans describing what funds are needed, what activities will be supported, and what evaluation questions will be answered. The evaluation plans are reviewed and approved by the Office of Program Planning and Evaluation, part of DASPRE.

In FY 1970, contracts for the Belmont system amounted to approximately $2.7 million, of which $1.8 million came from funds available for OE evaluation. 7/ The Belmont system is clearly the major Federal evaluation activity relating to elementary and secondary education. (Local project evaluations account for the largest evaluation expenditure related to Title I, however.) Belmont accounts for nearly all the staff time of the

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5/ See Appendix F for a more detailed discussion of the possibility of monitoring Title I through audits.

6/ This $3.8 million could be augmented by part of the $2.8 million appropriated for OE evaluation in general.

7/ BESE/PPE estimate.

BESE planning and evaluation office. Except for monitoring activities carried on throughout OE/HEW and for a few contracts awarded by OPPE or ASPE, Belmont accounts for all the OE evaluation related to Title I (see Table II-3). It is for these reasons that we now take a closer look at the Belmont system.

The Belmont system is a cooperative OE-State evaluation effort, begun in late 1968. 8/ To date, 27 States participate in the operation of the Belmont system. The programs to be evaluated under the Belmont system include: ESEA Titles I, II, III, V (Flow-Through funds only), VII, and VIII; NDEA Titles III and V-A; Follow Through; and programs under the Civil Rights Act Title IV. Programs of the Bureaus of the Handicapped and of Vocational and Technical Education are to be added. The goals of the Belmont system are as follows: 9/

(1) to provide the capability for accurate assessment of school and pupil educational achievement,

(2) to evaluate the differential effectiveness of the various federally funded programs,

(3) to evaluate the process of funds distribution through the delivery system (the overall system concerned with the transmittal of funds from funding sources through to substantive programs),

(4) to investigate the degree to which various needs of the students, local agencies, and schools are being met through current Federal contributions in conjunction with local and State financing.

These goals have been translated into six objectives for the purpose of directing instrument development and implementation: 10/

"(1) Describe individual school characteristics and pupil characteristics at the school level;

"(2) Describe the projects, activities, or treatments in which pupils are participating at the school level;

"(3) Relate school and pupil characteristics to specific projects, activities, and treatments;

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8/ The precise title is the Joint Federal/State Task Force on Evaluation. The name "Belmont" derives from the location of the first planning and development sessions.

9/ Scientific Educational Systems, Inc., Joint Federal/State Task Force on Evaluation, Comprehensive Evaluation System, Current Status and Development Requirements, Draft, January 1970, p. 17.

10/ Ibid., p. 18.

TABLE II-3

Estimates of Title I-Related Evaluation Expenditures
(Fiscal Year 1970)

| | Total | Federal | State | Local |
|---|---|---|---|---|
| | (thousands of dollars) | | | |
| Total | $14,876+ ? | $2,876+ ? | ? | $12,000+ ? |
| Program Strategy Evaluation | 364+ ? | 364 a/ | ? | ? |
| Project Rating ) | 10,321+ ? | 321 b/ | -- | -- |
| Local Project Evaluation ) | | -- | ? | 10,000+ ? e/ |
| Monitoring | 205+ ? | 205 c/ | ? | -- |
| Program Impact Evaluation ) | 3,258+ ? | 1,258 d/ | ? | 2,000+ ? f/ |
| Program Reporting/Needs Assessment ) | | | | |
| Comparative Cost Analyses | ? | ? | -- | -- |
| Other | 728+ ? | 728 g/ | -- | -- |

a/ Longitudinal Study of Demonstration Education Programs (OPPE), Further Examination of Exemplary Elementary and Secondary Reading and Early Childhood Programs (OPPE).
b/ Studies of Effectiveness of Elementary and Secondary Programs (Belmont Project Descriptor effort).
c/ Development and Installation of SEA Management Appraisal System (Belmont).
d/ Studies of Impact of Elementary and Secondary Programs (Belmont contract awards for BESE/PPE projects in fiscal year 1970).
e/ Local expenditures are estimated to be at least 1% of local project expenditures.
f/ Costs of completing the Belmont teacher and pupil surveys are said to exceed 8 hours/teacher (x 22,000 teachers); costs of completing the Consolidated Program Information Report will be very substantial.
g/ Contracts for development of Belmont analysis plans and user guides, Belmont contracts for development of common output measures and an "anchor test," etc.

"(4) Describe overall program progress;

"(5) Identify successful projects, activities, or treatments; and

"(6) Assess needs in terms of (a) flow of service, (b) populations being served, (c) projects, activities, or treatments not being provided, and (d) pupil changes not occurring."

The development of the Belmont system has been guided by two factors: cooperation with the States and consolidation of existing evaluation and statistical reporting requirements. The data collection needed to support this management and evaluation system has been developed with emphasis on removing redundant reporting requirements and minimizing requirements for new information.

Table II-4 lists the instruments which make up the Belmont system, their purposes, the data to be collected, and the present status of each. In addition to the instruments described in Table II-4, Belmont is pursuing three alternative approaches to the development of output measures for compensatory education programs: (1) development of common status measures, short tests of reading achievement and knowledge of job opportunities/requirements, for fourth and eleventh grade levels; (2) development of a new criterion reference instrument for reading; and (3) development of a common reading achievement metric ("anchor test") for fourth, fifth, and sixth grade levels, based on reading subtests of the SAT, MAT, STEP, SRA, and ITBS achievement batteries. The common status measures have been field-tested in Colorado this spring. A final report on this project is due September 30, 1970.

Development of a common reading achievement metric depends on (a) restandardization and development of common norms on a battery of five reading achievement subtests, (b) development of tables of score correspondence for the five reading subtests using the anchor test approach, and (c) the administration of the total testing program in the same time period to achieve comparability. 11/ The work is expected to take at least 15 months.

Table II-5 relates the principal Belmont instruments to the types of evaluation discussed in Section A of this chapter. Inspection of Table II-5 reveals that the Consolidated Program Information Report and the Pupil-Centered Instrument will be useful for Title I program reporting, needs assessment, and possibly for program impact evaluation; the Project Descriptor Workbook and the Guide for Authors will be useful for project rating and project evaluation; but that Belmont has less applicability to program strategy evaluation, monitoring, and cost analysis.

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11/ U. S. Office of Education draft RFP, "Development of a Common Reading Achievement Metric Based on Reading Subtests of the SAT, MAT, STEP, SRA, and ITBS Achievement Batteries," April 9, 1970.

TABLE II-4

Belmont Instruments

| INSTRUMENT | PURPOSE AND USE | DATA COLLECTED | STATUS |
|---|---|---|---|
| I. General Statistical Data | | | |
| Elementary and Secondary Education General Information Survey (ELSEGIS) | Survey instrument used to gather summary data on school systems. Emphasis is on collecting system-wide data. At present useful only to State and Federal planners in describing some aspects of need. | Number of schools in local systems by organizational level, grade and size of system; enrollment and pupil-teacher ratios; expenditures by accounting category. | A mail survey of a sample of 1800 public school districts (by NCES) |
| School Universe File | Used as a sampling frame for other survey applications. | Information on individual schools, including name, address, school enrollment by grade and instructional staff maintained. | A mail survey to all schools. Updated every two years. |
| Codification of Legislation | For State and Federal planning. | Descriptions of 700 Federal programs related to education. | Data have been computerized, report to be completed by September 1970. |
| II. Management Evaluation Data | | | |
| Program Reference File | Provide a universe record of the programs active in schools for the Belmont States. Utility as sampling frame. | Name and address of each school. Name of district superintendent, name of person responsible for Federal programs, grade span of school, school membership, degree of urbanism, listing of Federal programs by school and grade. | A mail survey to all Belmont States. Goes out in August 1970. |

TABLE II-4 (Continued)

| INSTRUMENT | PURPOSE AND USE | DATA COLLECTED | STATUS |
|---|---|---|---|
| CPIR (Consolidated Program Information Report) | To determine extent of reach of Federal/State educational programs. To assess broad elements of program effectiveness and efficiency at local level. To satisfy Federal statistical reporting requirements. Used for grant monitoring and management. | District-wide data: $ expended by source of funding, services provided, number of children by target group needing services and number receiving aid, staffing patterns, in-service education by source of funding.* | 1969 CPIR has been sent to a national sample of 830 school districts. 1970 CPIR is in preparation. Replaces the many BESE statistical reports. Satisfies reporting requirements on 12 BESE administered programs. |
| SEA-Management Evaluation Survey | Instrument designed to evaluate the State and local management of Federal funding accounts and grants. Replaces many specific accounting reports. May include questions on "need assessment." | What programs do you administer? What are funding levels? etc. | Survey similar in design to CPIR. Quarterly and annual document. Being developed. |
| III. Pupil/Project Centered Evaluation System | | | |
| Pupil Centered Instruments | Four parts designed to gather evaluative data on a sample of 856 school districts, and on samples of schools, teachers and pupils within these districts. Predecessor was the 465: 1967-68 and 1968-69 surveys of compensatory education. | Data on school districts (including test data, parental involvement, and personnel training), on schools, on teachers, and on pupil characteristics, participation in academic programs and ancillary services, behavior, and performance. | Elementary form available. Secondary not yet designed. |

*There is some doubt that the detailed breakdown of pupil, staff, and expenditure data are reliably available for LEA's at this time.

TABLE II-4 (Continued)

| INSTRUMENT | PURPOSE AND USE | DATA COLLECTED | STATUS |
|---|---|---|---|
| Project Descriptor Workbook | Provides information relative to the services provided through each Federal program. Used with Pupil-Centered Instruments for Federal and State planning. | For each project: type, funding source, duration, number, and characteristics of enrollees, process data, equipment used, project administration. | Instrument based on a taxonomy of projects, programs and activities. Still in draft form: has been tested by OE and ETS in New Jersey, Pennsylvania, and Maryland. |
| AIR Local Evaluation Guide | Standardized format for State and local evaluation reports on local projects. | | Uses the Project Descriptor taxonomy. |

TABLE II-5

Belmont Instruments Applicable to Title I Evaluation [a]

| Types of Title I Evaluation | Applicable Belmont Instruments | | | | | |
|---|---|---|---|---|---|---|
| | Consolidated Program Information Report | Pupil-Centered Instrument | Project Descriptor Workbook, Validation Manual | Guide for Authors | Common Status Measures, Criterion Reference Instruments, Common Reading Achievement Metric (Anchor Test) | Management Appraisal System |
| Program Impact Evaluation | X | X | | | X | |
| Program Strategy Evaluation | | | ? | | X | |
| Project Rating | | | X | X | X | |
| Project Evaluation | | | X | X | X | |
| Monitoring | | | ? | | | X |
| Program Reporting | X | X | | | X | |
| Needs Assessment | X | X | | | X | |
| Cost Analysis | | | ? | | | |

[a] X = Applicable
? = Possibly applicable
Blank = Not applicable

The components of the Belmont system are discussed in more detail in Appendix D. Based on the review of materials related to Belmont, the following observations can be made:

1. Belmont is a promising effort at cooperative Federal-State data collection and evaluation, which is potentially very useful for Title I evaluation. The States are pleased with their partnership role in Belmont. Whenever possible, therefore, new cooperative Title I evaluation efforts should be launched under the Belmont umbrella.

2. Belmont has developed a number of data collection instruments without having a clear data analysis plan and plan for use of the data. 12/ Belmont looks like a "big system," in danger of being designed relatively independently of potential users of the system, not furnishing enough short-term help to motivate potential users to invest the staff time required to make the system relevant and, therefore, in danger of being a waste of money. Belmont was started in the right direction, however. With sufficient staff for Belmont and liaison staff from the operating program and State and large city agencies, Belmont could still be a model of cooperative development of data collection and evaluation systems of use to large numbers of Federal, State, and local personnel.

3. Office of Education evaluation efforts, and Belmont evaluation efforts in particular, are suffering from lack of full-time professional staff members. The Belmont manager estimates that the following professional staff members are involved in Belmont:

| | Total | Full-time Equivalent |
|---|---|---|
| Bureau Program Planning and Evaluation (BESE, BAVTE, BEH) | 25 | 12 |
| Other OE/OS | 25 | 7 |
| SEA | 85 | 22 |

While these numbers represent a large investment of OE staff in the Belmont project, more staff are need to ensure that contracts are properly monitored. 13/

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12/ "... At present no one in Belmont has the time to explore the numerous dimensions or possibilities for use of the data being collected .... Belmont provides information for decision makers at all levels of federalism. But these potential users can best become actual users if they understand the nature and utility of the Belmont data. This report has stressed that the utility of Belmont data is not obvious to many LEA's who will bear the brunt of filling out the surveys" (Michael Kirst, Proposed Management System for Belmont, June 12, 1970 (OEC-0-70-2920).

13/ Cf. Michael Kirst, op. cit., "... Belmont has relied heavily on outside groups for doing interpretations and even drafting reports to Congress .... It is unlikely that private contractors will know the audience or policy or program issues most salient to Federal, State, and local decision makers."

4. The Belmont system furnishes data which could be used to estimate the extent to which Title I services are going to those with the greatest needs; the Consolidated Program Information Report makes it possible to trace funds to school district level; the Pupil-Centered Instrument makes it possible to estimate levels of services added to individual schools.

5. The recent inclusion of non-Title I schools in the sample used in the Pupil-Centered Instrument will furnish data that could be used in attempts at program impact evaluation, though the lack of appropriate comparison groups, lack of follow-up data, and the low level of Title I inputs will handicap attempts at program impact evaluation. [An early effort is indicated to extend the Pupil-Centered Instrument beyond grades 2, 4, and 6: upward to a Secondary School Survey (now scheduled for 1972) and downward to preschool and kindergarten.]

6. The Project Descriptor, one of the most promising of the Belmont efforts, will result in collection of comparable evaluative data on large numbers of local projects. It will be possible to automatically sort projects into groups of comparable projects with similar objectives, operating in similar contexts, and serving similar types of children. The Project Descriptor Instrument could be improved if comparable output measures were used at least for potentially successful projects. Descriptions and results of such projects could be used for nationwide or statewide dissemination.

The following are recommendations concerned with ways to strengthen the Belmont system and to make it more useful and responsive to the needs of Title I program administrators:

1. The Division of Compensatory Education should allocate staff time to work closely with the Belmont system in order to make it more useful for Title I program management. In particular, DCE should invest staff time in helping develop plans for analysis of Belmont data and in helping develop and modify the Consolidated Program Information Report, the Pupil-Centered Instrument (for elementary and secondary levels), the Project Descriptor Workbook, and the Common Status Measures.

2. The Division of Compensatory Education should attempt to make use of data currently available through Belmont and should work to shape the development of the Belmont system to better meet the Title I needs related to reporting, needs assessment, and program impact evaluation. In view of Belmont capabilities for producing Title I program reporting and needs assessment data, and in view of the low priority Title I program impact evaluation should have at the present time, the Office of Education should not mount additional, independent Title I evaluation efforts of these three types.

3. The Belmont system should proceed with development of criterion measures (measures of minimum performance levels) in each of the high-priority Title I areas, not simply reading but also mathematics, early childhood education, etc., and make the resulting instruments available to States and local school districts.

4. The Office of Education should examine ways to reduce the serious reporting burdens of the Consolidated Program Information Report and the Pupil-Centered Instrument, e.g., requiring completion of these instruments on only a biennial basis or making more use of centralized data processing in place of present manual computations. In particular, Belmont should examine the possible central use of computers to perform the cost estimating procedures now to be done manually at the local level to obtain the three-way 8 x 50 x 17-item breakdown of expenditures requested in the Consolidated Program Information Report.

5. Belmont should move the Project Descriptor system toward a project rating system by encouraging Local Educational Agencies to supply comparable output data, at least on projects which are nominated by SEA's or LEA's as outstanding and possibly worthy of replication in other communities within the State or in other States.

The Division of Compensatory Education should attempt to have developed, as part of the Project Descriptor effort, "suggested" output measures for some or all of the types of projects of highest priority within Title I. These "suggested" output measures should then be tested, on a voluntary basis, in projects nominated by States or by Local Educational Agencies. Addition of comparable output data would greatly strengthen the Project Descriptor system. The Division of Compensatory Education should put staff time into helping develop the Project Descriptor system, to ensure that it is as useful as possible for Title I project rating and project evaluation.

6. In addition, since it is difficult or impossible to separate the effects of Title I projects from the effects of other local efforts to educate the same children, the Project Descriptor effort should include some attempts to treat schools as projects (i.e., as the units of observation), trying to estimate which schools are doing the best job among schools operating in similar environments, with the idea of coming back later for more process-oriented (program strategy) evaluation.

F. Long-Term Strategy and Immediate Next Steps in Office of Education Title I Evaluation

Based on the evaluation priorities recommended above, on present availability of evaluative data, and on present capabilities within the Office of Education, this section recommends a long-term strategy and immediate next steps in Title I evaluation for the Office of Education, the Bureau of Elementary and Secondary Education, the Division of Compensatory Education, and the Office of Program Planning and Evaluation.

1. Long-Term Strategy [14]

At least $3 to $4 million per year is available for Office of Education Title I evaluation, but relatively little effort is going into project rating or into improving Title I monitoring. Title I monitoring

14/ The reader may wish to refer to Table II-2, p. 17.

efforts are quite deficient at the present time--hence fine-sounding Title I regulations and guidelines have often been ignored in practice.

Most State and local Title I evaluation activity is carried out to meet Federal requirements and is not completed in time to be useful locally. Each year, more than $10 million of Title I funds is spent locally on individual, unrelated Title I project evaluations, most of which are noncomparable and inconclusive because of the low level of Federal inputs and because of the absence of suitable comparison groups. Such local Title I evaluation studies are useful neither for local nor for State or Federal decision-making. And the Office of Educatio.. is failing to make the most effective use of millions of evaluation dollars available at Federal level.

Congressionally-mandated evaluations of the national impact of the Title I program, of alternative Title I program components, and of individual local Title I projects are all very difficult methodologically, because of the low level of Federal inputs relative to local inputs and because of the absence of suitable comparison groups. The Office of Education should give much higher priority to Federal and State monitoring of Title I operations and comparative rating of the relative outputs of Title I projects with similar objectives. Congressional demands for Title I program reporting and needs assessment should be met but should probably be done on a two-year cycle, in order to free resources for Title I monitoring and project rating. Monitoring and project rating need be done on an annual cycle, to assist decisions on project refunding and on allocation of technical assistance to individual projects.

The Office of Education should act to shift Title I evaluation resources to systematic project classification and monitoring and to project rating, both to allow more effective (State) management of the Title I program and to aid in detecting promising projects that could later be subjected to more rigorous program strategy evaluation and then given wide dissemination. Title I evaluation should be directed increasingly toward systematic rating of the relative outputs of different projects with similar objectives and serving similar types of children, to identify which projects appear to work best in which circumstances. (Such comparisons might be made nationally, regionally, or within individual States.) The Office of Education should decide which types of projects are of greatest interest (for example, reading projects, early childhood education projects, dropout prevention projects) and then focus Federal evaluation resources and induce States and localities to focus their own evaluation resources on proje:t rating evaluation designed to pick out the projects that appear to be doing the best job within each of these project categories.

The Belmont system is a promising attempt at cooperative Federal-State data collection and analysis. 15/ Belmont has developed a number of data collection instruments without having a clear data analysis plan or a plan for use of the data, however. The Belmont Project Descriptor effort is a

15/ See the Belmont discussion in the preceding section, which includes several specific conclusions and recommendations not repeated here.

particularly promising effort to develop a project classification system which, with proper input from Title I operations and technical assistance staffs, could become the basis for a Title I project rating system. The Project Descriptor effort will make it possible to automatically sort compensatory education projects into groups of projects with similar objectives, operating in similar contexts, and serving similar types of children. But further effort is indicated: an effort to induce projects to use comparable output measures as well, at least those projects that look promising enough to be candidates for nationwide or statewide dissemination. The Division of Compensatory Education should attempt to have developed and used, as part of the Belmont Project Descriptor effort, "suggested" output measures for some or all of the types of projects of highest priority within Title I.

2. Next Steps

a. Program impact evaluation, program reporting, and needs assessment. The Division of Compensatory Education should work with the Belmont system to make best use of data currently available through Belmont and to shape Belmont development to meet Title I reporting, needs assessment, and program impact evaluation needs more fully. In view of Belmont's capabilities for producing national (and State-by-State) Title I program reporting and needs assessment data on both Title I and non-Title I schools and in view of the low priority Title I program impact evaluation should have at the present time, the Office of Education should not mount additional, independent Title I evaluation efforts of these three types.

Division of Compensatory Education staff members should participate in Belmont working groups that will help shape (1) efforts to develop an "anchor test" that would allow one to equate results on different standardized reading tests, (2) efforts to develop and test "common status measures" that would be collected in addition to or in place of the output measures each project would normally collect, and (3) efforts to develop new criterion reference instruments.

b. Program strategy evaluation. The Office of Program Planning and Evaluation should include in the Office of Education fiscal year 1971 evaluation plan program strategy evaluations that examine the effects of concentrating compensatory education funds on smaller numbers of schools or smaller numbers of pupils within a school, rather than spreading them thin. Such program strategy evaluations might include data from Title I, Follow Through, and Title VIII projects.

c. Project rating. The Belmont Project Descriptor working group and the Division of Compensatory Education should work with a small number of State Educational Agencies to develop and demonstrate "model" output-oriented project classification and rating systems that could pick out the top 10-25% (and the bottom 10-25%) of each group of compensatory education projects that have similar objectives, serve similar populations, and operate in similar environments. Early efforts should be made to develop the project rating system in high-priority Title I areas: reading, mathematics, early childhood education, dropout prevention, etc.

d. Project evaluation. The Division of Compensatory Education should alert State Educational Agencies to be on the lookout for excessive Local Educational Agency Title I evaluation expenditures. Since definitive evaluation of the effectiveness of most individual Title I projects is beyond present methodology or outside reasonable cost constraints, local evaluation of most Title I projects should normally be limited to short-term comparisons of project results with previously stated performance objectives or with baseline conditions. More elaborate data collection would be justified in cooperative evaluations typically comparing the relative outputs of projects in several school districts.

The Office of Education, interested State Educational Agencies, and interested Local Educational Agencies should work together to establish cooperative mechanisms for more uniform, comparable, objective evaluation of the degree of effectiveness of different compensatory education projects with similar objectives. The Bureau of Elementary and Secondary Education and the Office of Program Planning and Evaluation should focus evaluation resources on demonstration projects helping groups of States or groups of communities serving similar populations to develop more comparable project evaluations (short-term and longitudinal comparisons of the results of different projects serving similar types of children, where the projects have the same general objectives but exemplify alternative treatments). Such efforts might be focused at first on projects nominated by State Educational Agencies or Local Educational Agencies as being "exemplary" or "possibly exemplary." Such evaluation could be mainly output-oriented at the start. When some projects appeared to be performing better than others, more intensive program strategy evaluations could be mounted in the next year.

e. Monitoring and cost analysis. The Office of Education should support legislative and administrative action to increase the funds available to State Educational Agencies for Title I administration--in particular, for State monitoring of Title I projects.

The Office of Education (in particular, the Division of Compensatory Education) should help State Educational Agencies to monitor their Title I programs more effectively by helping two-to-five States to develop and test prototype systems for classification and reliable monitoring of local Title I projects through site visits and other management techniques. These monitoring systems should incorporate site visits to assess project quality and degree of compliance with Title I regulations and guidelines, fiscal audits, output data (to the extent possible), and views of members of the community served. The Office of Program Planning and Evaluation should include funds for the development and demonstration of such monitoring systems in the fiscal year 1971 Office of Education evaluation plan.

In particular, the Bureau of Elementary and Secondary Education should develop a prototype system for combining State Title I auditing and other monitoring functions, since auditing and monitoring could and should be mutually reinforcing functions, although auditing will usually be more time-consuming. The Office of Program Planning and Evaluation should include funds for development of a prototype monitoring-plus-auditing system in the

fiscal year 1971 OE evaluation plan. Such a system ought to be developed in cooperation with State Educational Agencies interested in using such systems.

The Division of Compensatory Education and the Office of Program Planning and Evaluation should place particular stress on preparing systems for estimating local per pupil expenditures school-by-school, for use in (State) monitoring of the extent to which Local Educational Agencies are achieving comparability in local school district expenditures on Title I and non-Title I schools. Something between gross figures on pupil-teacher ratios and detailed expenditures per child is required. The Division of Compensatory Education should spend some time with the Belmont attribution manual and efforts to improve that manual, to see to what extent such gross estimating procedures would meet Title I needs for comparability data.

The Office of Education should also develop an improved system for monitoring State Educational Agency administration and monitoring of Title I. Such a system should be developed by the Division of Compensatory Education in conjunction with the Division of State Agency Cooperation, the HEW Audit Agency, and the Belmont system. This system should include participation of Division of Compensatory Education staff members in SEA monitoring of local Title I projects, to spot-check State monitoring/auditing efforts and get independent estimates of the extent to which Title I regulations and guidelines are being followed in that State.

3. Assignment of Evaluation Responsibilities

The Commissioner of Education should assign Title I (and related) evaluation responsibilities (and corresponding evaluation staff and financial resources) roughly as follows:

program impact evaluation--Office of Program Planning and Evaluation (low priority for Title I, however)

program strategy evaluation--Belmont working groups (low priority for Title I, however)

project rating--Division of Compensatory Education and Belmont Project Descriptor working group

project evaluation--Division of Compensatory Education and Belmont Project Descriptor working group (guidelines and suggestions to help State Educational Agencies and Local Educational Agencies improve local project evaluation)

program reporting--Belmont

needs assessment--Belmont

monitoring--Division of Compensatory Education
(monitoring State Educational Agencies and helping State Educational Agencies develop improved systems for monitoring Local Educational Agencies)

cost analysis--Division of Compensatory Education and Office of Program Planning and Evaluation

disseminating results of significant evaluations--Division of Compensatory Education

developing evaluation and monitoring methodology--Belmont and Office of Program Planning and Evaluation.

# III. STATE EVALUATION EFFORTS: A REVIEW AND AN ASSESSMENT

This chapter discusses substantive tasks to be accomplished by State evaluation efforts; constraints on State evaluation efforts; types of evaluation activities most appropriate to State Educational Agency (SEA) efforts; and the conduct of Title I program administration, monitoring, and evaluation in a sample of State Educational Agencies. The chapter concludes by recommending a long-term strategy and immediate next steps to strengthen and improve State evaluation efforts.

## A. The Evaluation of Education Programs for the Disadvantaged: the State Role

### 1. Introduction

State Educational Agencies play a pivotal role in the administration of the Title I Elementary and Secondary Education program. Title I funds are allocated according to a predetermined formula for use by local school districts to support a wide range of services and activities for disadvantaged children. The Office of Education (OE) is charged with issuing regulations and guidelines on the legal uses of those funds and with the collection of information (largely ex post facto) necessary to determine what has happened as a result of the expenditure of funds. Local Educational Agencies (LEA's) have the primary responsibility for the design and implementation of programs which fall within the legally permissible uses of Title I funds. It remains for the SEA to approve all project applications and in so doing, to establish, modify, or expand criteria for project approval (consistent with those specified in the law and regulations) and to reject or cause to be modified any project not meeting those criteria or the purposes of Title I. Once projects are approved and funds are allocated, the SEA is responsible for monitoring local operations to see that they conform both with the letter and the spirit of the law and that the activities are, in fact, directed towards improved education for disadvantaged children. Finally, the SEA is responsible for submission of periodic reports to OE on the effectiveness of the program.

An SEA can meet its responsibilities under Title I in any of several ways: (1) by assuming a passive posture vis-a-vis both the Federal government and local school districts within its borders; (2) by assuming the initiative in the direction of Title I (and other education activities as well); (3) or by a combination of the two. Under the first option, the SEA dutifully carries out whatever OE requires, while maintaining a healthy respect for local autonomy. In other words, the SEA acquiesces to LEA decisions on project design, content and coverage, so long as the projects proposed meet the legal requirements set down by OE. Under a

"passive" administration of Title I, the impetus to do evaluation is reduced as is the utility of the information produced by evaluation efforts. Information collected on program operations is intended primarily to meet OE needs and requirements, since the SEA exercises little control or direction over projects. When a State assumes a more "active" role in the administration of the Title I program, it focuses its efforts on finding ways to improve education programs. Title I is treated as one part of the total State education effort, and its administration is integrated with other SEA activities. Planning and evaluation activities increase in significance as the SEA assumes more initiative in the direction of its educational programs.

The active/passive dichotomy in State administration of Title I (or any other education program) is largely hypothetical. In reality, State administration of Title I can fall anywhere along a continuum from passive to active. The amount of direction and control over the Title I program exercised by a State may depend in large part on the personalities involved, on the politics of State education, or on the power relationships which exist within the State. The sections which follow center on the tasks which evaluation activities ought to accomplish, the constraints which affect the performance of those tasks, and the types of evaluation which are most appropriate to State efforts.

2. Substantive Tasks to be Accomplished by State Evaluation Efforts

State evaluation efforts, like Federal and local efforts, should be directed at improving the effectiveness of educational programs and at improving the efficiency of the mechanisms which are involved in the delivery of those programs. Throughout this chapter, the terms "evaluation of Title I" and "evaluation of education programs for the disadvantaged" are used synonymously. At the State and particularly at the local level, the distinction between Title I and other Federal, State, or local programs for the disadvantaged becomes extremely vague. In evaluation, it is impossible--except by attribution--to separate out the effects which are due to expenditure of Title I funds from the effects of other local or Federal funds.

The role of the SEA in Title I evaluation is made even more complicated by virtue of the fact that the SEA has its own rationale for existence independent of Title I. Were Title I the only program operated by the SEA--or even were the only Federal education program for which the SEA is the exclusive agent--then the complex task of running the Title I program would be greatly simplified. The SEA, however, raises and expends funds for education independently of the Federal government and plays a significant role in the operation of all educational activities within its borders, in addition to being the intermediary from Federal government to local school districts in operation of the Title I program.

As a result both of the difficulty in isolating the effects of Title I and of the fact that Title I itself is only one part of a multi-faceted SEA program, the activities carried on in the evaluation of Title I ought to be an integral part of the total SEA operation. The information generated in conjunction with the administration of Title I should meet both the internal needs of the SEA and the external demands of the Federal government, local school districts and other interested pressure groups within the State. Because Title I funds go into the majority of LEA's in a State and because the law requires the State to report annually on Title I effects, Title I provides a vehicle for the SEA to amass potentially valuable information about the operation and effectiveness of education programs within its borders. Because Title I supports a wide variety of services and activities, the lessons learned from the program should be applicable to other education programs, regardless of source of funds or target populations served.

Three tasks can be identified which should be included in State evaluation efforts in general and Title I efforts in particular. The extent to which a State assumes an "active" or a "passive" role in administering its programs will determine the extent to which each of those tasks is accomplished. State evaluation efforts should ideally be directed towards:

-- Assisting and improving State program planning and management efforts.

At the State level as well as at every other level of organization, there should be a link between evaluation and the planning and operation of programs being evaluated. If evaluation has no impact on State decision-making, and if State officials' needs for information are ignored or unsatisfied by the evaluation efforts, then those activities have form but no substance. Evaluation should be only a means towards the improvement of educational decision-making; not an end in itself. If State evaluation activities are directed simply at satisfying Federal reporting requirements or at "holding the hands" of local school districts, then this first task will not be accomplished.

Evaluation activities should be designed to yield information to be used as inputs to overall State planning activities and as inputs to decisions to approve or disapprove individual projects. That is, State evaluation efforts ought to provide information on (1) whether existing Title I activities as a whole complement other State and Federal efforts to improve educational opportunities for the disadvantaged and (2) whether and how much these efforts are coordinated with existing State and Federal programs to yield the most effective use of limited resources. Evaluation should yield information which indicates the existence of gaps in activities and services and whether such gaps could be filled by use of existing State or Federal resources. Evaluation should be useful to State program officers in reviewing project applications by indicating which types of activities have successfully met Title I objectives (as defined in the criteria established by the State and by OE), and which types of activities have had little or no impact, or a negative impact.

-- Assisting and improving local program planning and management efforts.

The more actively a State administers its programs, the more its evaluation efforts will be directed toward the aim of improving local education by providing assistance in the design of local projects and in the design of procedures for the evaluation of those projects.

The SEA can both act as a resource for local school systems and set criteria for local efforts. Title I provides a good vehicle for the SEA's assumption of an important role in local planning and evaluation efforts. The legislation gives to the State the authority to establish criteria for local planning and evaluation of projects and assigns specific responsibility to the State to determine that projects meet those criteria (Sec. 205 of Title I). The SEA, through its own actions, indicates to its LEA's exactly how important--or unimportant--it considers evaluation. If the State undertakes a program of evaluation activities, but fails to use any of the findings of those evaluations to alter or augment the direction of its programs, then the message to local school authorities is clear: The State Department of Education considers "evaluation" something which must be done in order to satisfy some external requirement and not because it may be of use in improving education.

State Departments of Education should work with LEA's to improve local project evaluations. States should design and/or participate in evaluation activities which will help local school officials by gathering evidence on successful projects: their organization, their content, their cost. Similarly, each State should seek to determine which types of projects are least effective, so that local school systems can eliminate or redirect them. Through their monitoring and auditing activities, State agencies can provide valuable information to LEA's on the experience of other school districts with similar problems or projects, as well as contribute timely information from objective perspective on the strengths and weaknesses of the projects under review.

-- Assisting Federal planning and evaluation efforts.

Regardless of the philosophical perspective from which a State views its role in the direction of education activities, its evaluation efforts will be directed toward assisting Federal planning and evaluation. As the legal intermediary between Federal policy and local execution of those policies, the SEA is called upon by OE to supply information and to assist in the collection of information from local school districts. For a variety of reasons, which will be dealt with later in this chapter, State evaluation efforts have concentrated primarily on this third task. The fact that all SEA's collect information for OE does not mean that the task of assisting Federal planning and evaluation efforts is done well, however.

As a result of the extensiveness of the Title I program, OE cannot directly monitor the operations of local projects; the States must assume a major role in ensuring that Title I projects and programs conform to Federal guidelines and regulations. Existing OE information systems rely on information gathered from sample surveys. While the data yielded through the survey technique are valuable for many purposes, such surveys do not relieve OE and the SEA's of their legal obligation to ensure that all Title I funds are being expended for the purposes and in the manner intended by the legislation. The SEA has a dual function in this regard: it monitors the operation of Title I projects and also assists local districts to understand and implement the legal requirements of the program.

To accomplish effectively the task of assisting Federal planning and evaluation efforts, the State must have an efficient monitoring system capable of yielding relevant information on local program operations. Monitoring activities should feed information up to OE and down to local school districts. A State which provides information useful for Federal planning and evaluation efforts will almost certainly be gathering information which will be useful in improving the planning and evaluation of its own programs.

3. Constraints on State Evaluation Efforts

The present scope of SEA evaluation activities is defined in part by the constraints which operate on those activities. Some of the constraints are internal: that is, they arise out of prevailing State attitudes about the control of education or out of administrative problems within a particular agency. Other constraints result from forces beyond the control of a particular SEA. The existence of these constraints not only must be acknowledged, but also must be taken into account in the formulation of any strategy for State evaluation efforts.

a. Methodological constraints. Throughout this study, a recurring plea was heard from SEA personnel: "We need help in evaluation." This most often means assistance not only in setting up the mechanisms for data collection and processing, but also assistance in selecting and applying appropriate evaluation tools. Methodology has been one of the weakest links in evaluation at every level: knowing what to measure and knowing how and what conclusions to draw are problems which plague evaluations of all social programs. Educational evaluation at the State level is hampered by a lack of specificity in project and program objectives, inadequate or ill-defined output measures, and inability to describe process variables simply and inexpensively. This condition will be less of a constraint on evaluation as better techniques of evaluation are developed, tested, and disseminated.

b. Political constraints. Public education in the U. S. has been described as the last of "the cottage industries." Local control of education has been canonized and is an operative principle in American education. As a result, SEA's have played a traditionally passive role in the direction of education. SEA personnel typically cajole, suggest,

urge and perhaps even exhort--but almost never REQUIRE--LEA's to make appropriate changes in educational practice.

Moreover, public education until very recently has not been held accountable by the community for the services it provides to children. This lack of accountability for success or failure of education at all levels of the governmental structure has important implications for evaluation. The absence of public pressure for accountability removes one of the key incentives for evaluation. If what works, or why, seems unimportant, there is no incentive either to evaluate or to use the results of evaluation in policy formulation. Evaluation becomes an academic exercise.

At the moment, there is very little incentive from the SEA for local evaluation. Projects are funded with or without evaluation components and in most instances, irrespective of evaluation results. Similarly, OE provides little incentive to the SEA's to do evaluation or to improve evaluation. For the past three years, OE has required the States to file annual evaluation reports based on a set of broadly worded questions, but to date, the States have seen no evidence that OE has ever even used the materials supplied by those State reports. The quality and quantity of evaluation activities will increase if and when evaluation is demonstrated to affect decision-making.

c. Manpower constraints. There are not enough people working in evaluation at the State level and possibly not enough of the right kinds of people. State evaluation efforts are badly understaffed either because the SEA has not allocated sufficient positions for evaluation (which is in part a reflection of how the SEA views the utility of evaluation) or because the positions which are allocated go unfilled. Salaries paid to State evaluation personnel (and other State personnel as well) are often not competitive either with those paid by large urban or suburban school districts or with the salaries a qualified evaluation specialist could command elsewhere in the marketplace. Positions also go unfilled because of complicated State hiring procedures and irrelevant job qualifications. The intricacies of SEA administration have been major contributors to the anomalous situation in which SEA's have in the past returned unused administrative monies to the U. S. Treasury (under both Titles I and III) despite the need for more evaluation staff. In many instances, the people who are responsible for evaluation lack formal training in some of the quantitative skills which are tools of the trade. Evaluation staff are often recruited through traditional and restrictive channels: classroom teaching, local school administration or laterally, from other jobs within the SEA.

Amending State personnel practices or salary structures is a long-range objective, but much can be done in the short-run to upgrade the skills of existing State personnel involved in evaluation. For example, in-service training materials and workshops on the purposes, design, and utility of evaluation can and should be developed; cooperative efforts between SEA's and nearby colleges or universities can be developed for exchange of staff or to augment SEA staff on a part-time basis.

d. Resource constraints. Evaluation is expensive. Although the amount of money going into evaluation has increased over the past few years, there is still not enough money for evaluation from either Federal or State sources. Titles I, III, and V have been the principal sources of Federal support for State evaluation activities. Beginning in FY '70, ESEA Section 402 funds were added to this list. But in every case, the Federal funds have been spread across a variety of State agency activities, only some of which are directly related to evaluation.

According to the fifth annual report of the Advisory Council on State Departments of Education, only 8.75% of the total expenditures of SEA's (in FY '69) were spent for all planning, development, and evaluation activities. Like Federal funds, these State funds are used to support a variety of activities. Site visits conducted during this study indicate that a large part of the evaluation resources which SEA's use goes into data collection and processing activities and into support for the traditional fiscal audit activities.

e. Scheduling constraints. Up to this time, evaluations have tended to culminate in the production of documents submitted on an annual cycle. However, there is little if any congruence between the cycle of evaluation and either program planning or decisions concerning funding. Evaluations are typically submitted in the form of annual reports from LEA's to SEA's. The reports for one school year are received by the SEA, however, after decisions have been made concerning programs for the next school year. The same holds true for the reports supplied by SEA's to OE and for the little survey information which OE sends back to SEA's. Little if any effort is being made by SEA's to collect periodic evaluative information which might be useful in the decision-making process. Evaluation systems will have to be designed which include the traditional evaluation reports, but which also include provision for the generation of more timely data, perhaps on a quarterly basis.

4. Types of Evaluation Activities Most Appropriate to State Efforts

In Appendix B of this report, we identified eight types of evaluation and evaluation-related activities: program impact evaluation, program strategy evaluation, project evaluation, project rating, monitoring, program reporting, needs assessment, and comparative cost analysis. Some of these evaluation activities are more appropriate for SEA's than others, in terms of Title I and similar programs. The appropriateness of each type of evaluation must be viewed not only in terms of what is desirable, but also in terms of what is practical, given the constraints which were discussed in the preceding section and the present state of SEA evaluation efforts.

a. Program impact evaluation. It is clearly appropriate for a State to attempt to determine the overall effectiveness of all its programs for the disadvantated, but such program impact evaluation is extremely difficult and costly. Program impact evaluation is meaningful only if the

SEA has defined the objectives for such programs and has selected appropriate measures to assess progress toward those objectives. Pennsylvania's Quality Assessment Project is an example of program impact evaluation. Up to this point, the Pennsylvania effort has been primarily a research activity; this fall it will enter its operational phase; therefore, no conclusions have been reached regarding overall program effectiveness. At times in the past, program impact evaluation has incorrectly been made synonymous with the sum of the effectiveness of individual local projects within a program. Since the effects of Title I cannot be separated from those of other State or local programs and since Title I local project evaluations are not consistent in design or measures used, statements made about the impact of Title I based on local project evaluation must be greatly discounted. Given the scarcity of funds for evaluation and the present state-of-the-art in evaluation, States should be reluctant to invest in Title I program impact evaluation.

b. Program strategy evaluation. It is important for State personnel to know about the relative effectiveness of various education strategies and, therefore, program strategy evaluation is appropriate to SEA needs. However, program strategy evaluation may not be feasible for all SEA's for several reasons. Such evaluations are expensive to carry out and would probably exceed the current ability of any one State to pay the costs. Moreover, many States do not have within their borders sufficient variation among program strategies or sufficient examples of each strategy necessary for this type of evaluation. Neither of these factors pose insurmountable difficulties. As resources--in terms both of money and manpower--grow, the ability of a State to support program strategy evaluation will increase. As a State improves its information about what is happening in its local districts, it will improve its potential for finding the necessary examples of program variation or can take the lead in inducing LEA's to adopt various program strategies as part of an overall evaluation effort. Some States may wish to enter into cooperative program strategy evaluations with neighboring States.

The Office of Education should facilitate such cooperative State evaluation efforts. OE should provide assistance upon request in the design and execution of program strategy evaluation. More importantly, OE can itself design and fund program strategy evaluation. In doing so, OE ought to seek the active involvement and participation of SEA's. Results of program strategy evaluations will clearly be applicable to more than one SEA.

Program strategy evaluation will yield crucial information about which types of projects are most effective in meeting the educational needs of disadvantaged children. Utilization by a State of the results of such evaluations will certainly move the State toward "active" administration of its programs.

c. Project evaluation. Not only is project evaluation an appropriate activity for the SEA, but it is the most common type of evaluation extant today. Local project evaluations currently yield little useful data relative to the money and manpower invested, however, primarily because the evaluations are noncomparable. The SEA can play a critical role in changing this situation.

First, the State can improve local project evaluation by providing direction and leadership to LEA's on what to evaluate and how to do it. The SEA should provide explicit instructions on the design of project evaluations, offer examples of appropriate techniques or instruments, recommend and/or locate consultants, and set guidelines for expenditures for such evaluations. Some States have already begun to take steps necessary to improve local project evaluation. For example, New York State has compiled an "Assessment and Evaluation Handbook" and an "Evaluation Manual" (for its Urban Education Program).

This approach of working to improve local project evaluation emphasizes the fact that the SEA should be interested in knowing how well local projects measure up to local objectives and what kind of progress students are making. The SEA should encourage exemplary project evaluation. State staff should review project evaluation reports, pick out examples of "good" evaluations, and disseminate them to LEA's throughout the State. More importantly, the SEA should go beyond providing assistance on how to improve local evaluation and should use the results of project evaluation in its deliberations on applications for funds. Massachusetts claims that it will do this for summer project applications beginning in FY 1971.

A second approach which the SEA can use to strengthen project evaluation involves the State in the evaluation directly. Once the SEA has the capability to identify classes of similar projects, it can use its own staff to conduct comparative evaluations of similar projects. These State evaluations should use some common measures of project success, either agreed on jointly by the SEA and LEA's involved or imposed by the SEA. In the latter case, the SEA could specify as a condition for funding that the LEA include one or two common output measures in its project evaluation. (These would be in addition to any other measures the LEA might choose to adopt.) Projects could then be compared on the basis of common outputs; comparisons could be made between progress on local output measures and on common State-imposed output measures. 1/

Pennsylvania has established a precedent for SEA evaluation of Title I projects with its on-site evaluation system, discussed below. SEA evaluation of local projects may be even more feasible in project grant programs, such as Title III.

d. Project rating. Potentially, project rating is both useful and appropriate for State evaluation, but at present only parts of a project rating system are readily adaptable to State information needs. A fully developed project rating system attempts to rank projects on the basis of their success in meeting some common objectives. A rating system

1/ This approach is similar to project rating and could be considered as such if the form and scale included all projects in a given class (see below).

does not explain what causes the observed results, but it does lay the groundwork for the design of more intensive evaluations. Most importantly, a rating system locates those projects serving similar populations which are most successful in meeting a set of objectives, and those which are least successful. Such information would be useful to State officials and to local officials in the design and operation of compensatory projects.

There are several difficulties which must be overcome before a State can install a project rating system. First, a project rating system depends on the specification and collection of comparable output data. If an SEA can induce some LEA's to report such comparable information for projects serving similar populations, then it would be possible to implement a rating system. Furthermore, a rating system groups projects into classes based on environmental variables (such as student SES) or on inputs. The projects in each class would be expected a priori to yield similar results. Unless the SEA collects sufficient uniform environmental data and input data on projects operating in its LEA's, it will not be able to develop the classifications within which projects are rated.

SEA's can develop a rough classification scheme for projects based on information collected annually in project applications. These data can be used to classify projects, or the forms can be modified with relative ease to yield the desired information. SEA's should be encouraged to establish such classification schemes at least as a basis for more systematic monitoring activities.

e. Monitoring. At present, monitoring is the most prevalent type of evaluation activity in SEA's. Information collected during the site visits and discussions with State officials indicate that most States fail to exploit the potential usefulness of monitoring activities to accomplish the substantive tasks described in Section A-2. Current monitoring efforts too often are cursory and non-systematic. Often, States monitor by exception: for example, Texas which looks into projects which are, have been, or are likely to be in trouble, or New Jersey which concentrates systematic monitoring only on the large LEA's. No State appears to have a system for monitoring projects or LEA's both in terms (1) of whether the project conforms to its application and to the legal requirements; and (2) of how well the project is doing vis-a-vis others having similar objectives and serving similar populations. Because subjective judgments are made by persons doing monitoring, the latter type of monitoring does take place occasionally and informally. However, to make monitoring more objective, a classification system should be developed for all projects.

Monitoring provides the opportunity for the State to gather information on what is actually happening. It is clearly a necessary means of determining whether projects conform to legal requirements; moreover, monitoring visits provide a valuable opportunity to offer technical assistance to LEA's on program operations. Monitoring presently is done by a variety of State personnel: program officers, auditors, consultants, and curriculum specialists. Apparently, there is little systematic training of on-site monitors. Monitoring instruments (used in writing site reports) tend to emphasize subjective judgments or call for responses to

vaguely worded questions about project operations. On-site reviews conducted by State officials would benefit greatly from (1) the development of more objective means to monitor projects, (2) more rigorous training of the monitors prior to the site visits, and (3) systematic follow-up procedures to see if recommended changes are made.

There is probably no single monitoring system which will meet the needs or capabilities of all 50 States. The issues on which monitoring activities will focus may vary from State to State: for some, the primary issues will relate to fiscal disparities within the LEA; for others, the central issues will be selection of program participants; for others, development of comprehensive programs or more effective sequencing of services. The techniques for gathering monitoring information may also vary depending on the capacity and budget of the SEA, the number of LEA's, etc. As a result, some monitoring systems may rely primarily on on-site visits, while others will seek to blend on-site visits with information derived from other sources within the SEA or through written or telephone contacts with the LEA's. OE, and DCE in particular, ought to work closely with several States to develop and demonstrate monitoring systems for Title I projects. These prototype monitoring systems should concentrate on developing a variety of techniques for gathering the necessary information on project operations quickly and cheaply. The monitoring systems should attempt to take existing or easily obtainable information and assemble it in a manner which can be used by State program administrators and which can be fed back to LEA's.

f. Program reporting/needs assessment. These are absolutely essential activities for SEA's. Like the Office of Education, SEA's tend to have incomplete program statistics on populations served, services provided, staffing patterns, program expenditures, etc. Data on these facets of project or LEA operations have tended to come almost exclusively from annual project applications. State program officials should also collect information on educational needs in order to determine where gaps exist.

Parts of the Belmont system (specifically, data from the Consolidated Program Information Report and the Pupil-Centered Instruments) contain information about needs and services provided from a sample of LEA's which is representative for each State. To date, information collected through the Belmont system has not been provided to States on a timely basis or in a form that is useful to the States. If this situation can be corrected, then States will have a tool which can be used in a variety of ways. If Belmont cannot be made more responsive to State information needs and more timely, then States will have to expend some of their limited resources to collect such information.

g. Comparative cost analysis. Cost data should be a part of the regularly collected program information. To the extent that these data are reliable, they should be used in making comparative analyses of costs wherever useful to the SEA planning and management efforts. If accurate cost data are not readily available (or some reasonable approximations thereof), limited SEA evaluation resources should not be expended to get those data.

In conclusion, all eight evaluation activities are more or less appropriate for States to undertake, but at this point in time, monitoring and other activities related to it should be emphasized. Monitoring can and should become the point at which aspects of a project rating system, improved program reporting/needs assessment, and the results of local project evaluation are brought to bear on the improvement of local programs. When this happens, a monitoring system provides relevant and timely information and becomes an effective tool for State program administrators. Until monitoring is done well, both program impact and program strategy evaluation will remain luxuries that States can ill afford.

B. The Conduct of Evaluation Activities in Selected State Departments of Education

1. Introduction

The roles that State Departments of Education play in the administration of public education are far from uniform. In the past, SEA's have suffered from inadequate financial support and severe difficulties in recruiting qualified personnel. For a variety of reasons, State Departments of Education have tended to focus on the problems of rural or small school districts, while urban and suburban systems were left to go their own way.

With the enactment of ESEA came greater emphasis on the role of State Departments of Education in the administration and operation of education programs. Title I requires SEA's to review and approve applications from local school districts; Title II operates under a State plan for the disbursement of funds; Title III is now largely a State-operated project grant program. Other pieces of Federal legislation require the State to assume responsibility for program operation. The added responsibilities placed on SEA's have been accompanied by increased Federal support for the operation of the State agencies. Title V and Vocational Education represent the largest sources of funds for the support of SEA's, but funds are earmarked specifically for general program administration under several other programs, such as Title I and Title III. 2/

The Federal share of total State Educational Agencies expenditures in FY 1969 amounted to $108 million, or 41% of the total. 3/ The Advisory Council on State Departments of Education reports that SEA expenditures support a variety of activities, as indicated in Table III-1. Unfortunately, the Advisory Council report does not explain what activities are included under each of the program functions. Table III-1 does show that "Improvement of Instruction," which is the traditional activity of State Departments of Education, accounts for $2 of every $5 spent.

The amount of total SEA expenditures which is accounted for by Federal funds varies from State to State, as does the amount spent in the category called "planning, development, and evaluation." The Federal share of total SEA expenditures in FY '69 varied from a high of 69.6% in Texas to a low of 12.0% in Virginia. Table III-2 illustrates the amount of Federal support and the amount spent on planning, development, and evaluation in the States visited during this study (plus New York and California).

Table III-2 also illustrates the variation which exists among the States. New York and California together account for over 20% of the total expenditures by all SEA's. The Federal share of expenditures in these eight

2/ For a State-by-State breakdown of Federal funds available for State administration, see an HEW internal paper by Gilbert Austin, "The Federal-State Partnership in Education," dated June 1, 1970.

3/ U. S. Department of Health, Education, and Welfare, The Federal-State Partnership for Education, Washington: March 1970, p. 15.

TABLE III-1

Total Expenditures of All State Educational Agencies
by Program Function, FY 1969 a/

| | Function | Amount (in millions) | % of Total |
|---|---|---|---|
| 1. | General Administration | $ 57.7 | 21.9 |
| 2. | Planning, Development, and Evaluation | 22.9 | 8.7 |
| 3. | Improvement of Instruction | 103.1 | 39.2 |
| 4. | Improvement of Administration | 22.5 | 8.5 |
| 5. | Accreditation, Licensing, and Staff Development | 18.3 | 6.9 |
| 6. | Agency Operated Programs | 24.3 | 9.2 |
| 7. | Other | 13.5 | 5.1 |
| | Total | $262.4 | 100.0% |

a/ U. S. Department of Health, Education, and Welfare, The Federal-State Partnership for Education, Washington: March 1970, p. 15.

TABLE III-2

FY '69 Expenditures in Selected State Departments of Education [a]

| State | Total Expenditures (in Millions) | Federal Share | | Expenditures for Planning, Development and Evaluation | |
|---|---|---|---|---|---|
| | | Amount in Millions | Percent of Total | Amount in Millions | Percent of Total |
| 1. Texas | $ 7.6 | $ 5.3 | 69.6 | $ .9 | 11.8 |
| 2. Ohio | 7.3 | 4.4 | 60.6 | .5 | 6.8 |
| 3. Pennsylvania | 11.8 | 4.8 | 40.5 | 1.5 | 12.7 |
| 4. California | 20.9 | 7.5 | 36.0 | 1.3 | 6.2 |
| 5. Massachusetts | 5.4 | 1.9 | 35.8 | .5 | .9 |
| 6. Oregon | 2.9 | 1.0 | 35.7 | .3 | 10.3 |
| 7. New Jersey | 8.8 | 2.8 | 32.2 | 1.0 | 11.3 |
| 8. New York | 35.5 | 7.6 | 21.5 | 3.3 | 9.2 |
| Total for all States | $262.4 | $107.6 | 41.0 | $22.9 | 8.7 |

a/ U. S. Department of Health, Education, and Welfare, The Federal-State Partnership for Education, Washington: March 1970, p. 15.

(largely urban) States vary from 70% in Texas to 22% in New York. The expenditure for "planning, development, and evaluation" exceeds the national average in five of the eight States, ranging from a high of 13% in Pennsylvania to a low of 1% in Massachusetts.

The following sections of this paper will examine "evaluation" activities in the five States visited, in an attempt to understand what the term means in practice, what types of staff and resources are used in evaluation, and what might be done to improve State evaluation efforts.

## 2. A Review of Activities in a Sample of States

During the month of June, staff from the Urban Institute visited five State Departments of Education: Massachusetts, New Jersey, Oregon, Pennsylvania, and Texas. [A much shorter visit to Ohio was made in late July.] The sample, which was selected after consultation with Office of Education staff, was intended to be representative of evaluation and technical assistance efforts in all 50 States. The site visits were not intended to review all aspects of SEA administration, or even of all Federal programs. Interviews focused on State administration of the Title I program with particular emphasis on four areas: project application, monitoring, evaluation, and technical assistance. While site visits concentrated on Title I, some information was gathered on other facets of SEA operations, such as the Title III program, Title V "flow-through" funds, SEA research and/or central planning activities, fiscal audit procedures.

The site visits were designed to get a better picture of how State Departments of Education attempt to improve the operation of the Title I program in particular and education of the disadvantaged in general. Through interviews with State personnel and review of available documents, an attempt was made to determine the extent to which evaluation-related activities supported the substantive tasks outlined in the first part of this chapter. Underlying the discussions with State personnel was the assumption that information generated in the name of evaluation or program administration ought to be of use primarily in meeting the needs of State officials.

Discussions relating to the area of program administration/operations focused on the organization, staffing patterns, and assignment of responsibilities for the administration of the SEA as a whole and of Title I in particular. More importantly, the procedures used in the annual application, review, and approval process of the Title I program were examined in detail because of their importance as decision points in the program cycle. The project application process is the point at which the results of evaluation and monitoring activities ought to impact the direction of the program. Our concern with monitoring centered on the procedures and activities used by the SEA to find out what was going on in a particular program, especially to determine if the projects were being operated in accordance with prescribed objectives, regulations, and guidelines. Interviews about evaluation attempted to identify evaluation activities being conducted by the State, the manner in which the State fulfilled its

mandated requirements for evaluation, the extent of State use of past evaluations, and the impact of evaluation results on the direction of the program. Finally, the activities of the SEA called "technical assistance" were investigated. The role of States in technical assistance will be discussed in Chapter VIII of this report.

a. Program organization/administration. The organizational patterns within the five State Departments of Education visited and the positions of the Title I programs and staffs within those organizations vary significantly. SEA's appear to be in the midst of a reorganization which generally involves more centralization of planning and evaluation activities. Both Oregon and New Jersey have recently reorganized; Texas has had a system of consolidated program administration for several years; Massachusetts is considering using part of its ESEA 402 money to create a central planning staff in the Office of the Commissioner, which Pennsylvania has already done.

Similarly, there are important differences in the way the Title I program is operated in the five States. New Jersey, which has 450 school districts, concentrates most of its Title I administrative efforts on the 26 largest LEA's (which account for about 90% of the funds) and places particular stress on improving the management of Title I projects. To accomplish this, the large LEA's in New Jersey are required to develop and adhere to PERT systems for their Title I operations. The remaining 424 LEA's work with 21 county superintendents, who are SEA employees reporting to the Deputy Commissioner. The county superintendents, who have their own staffs, spend part of their time screening Title I project applications from small LEA's and occasionally work with them on other aspects of Title I operations.

Like New Jersey, Pennsylvania has decentralized part of its administration of Title I. The State has established 16 Education Development Centers located in State colleges or universities and headed by a college professor who works part-time for the EDC. Eight of the EDC's have full-time assistant directors, who work primarily on Title I projects in the LEA's within the region served by the EDC.

Massachusetts, which has roughly the same number of local districts as New Jersey, tries to spread its central Title I staff over all LEA's. The State does have four regional offices, but regional staff are used only sparingly in the operation of the Title I program. In Massachusetts, each Title I staff member has responsibility for all aspects of the Title I program in all LEA's within a particular geographic area of the State; the State Title I coordinator is responsible for the five largest LEA's. Oregon makes no attempt to divide Title I project applications on the basis of location within the State, project content, or staff expertise. In fact, applications are assigned for review and approval on a first come-first served basis.

New Jersey, Massachusetts, Oregon, and Texas rely heavily on OE guidelines and instructions in reviewing Title I project applications. (Texas places particular emphasis on the issues of concentration, comparability and the necessity to eliminate instances where Title I might be used as general aid.) Pennsylvania was the only one of the five States visited which is requiring that, in project applications, the LEA's must state their instructional objectives in measurable terms.

Beginning in FY '71, Pennsylvania will accept two-year applications for Title I projects to enable local districts to do more planning (initial approval of a project will not ensure automatic approval for an extension into the second year.) In Texas, the Title I program is one part of the Division of Program Funds Management, which is supposed to receive and review consolidated applications for seven Federal programs. including Title I. Although the consolidated application is intended to stimulate comprehensive local planning, Texas Education Agency staff readily admit that comprehensive planning has not yet advanced much beyond the stapling together of what used to be separate applications for Federal funds.

While the method of reviewing and approving project applications differs from State to State, some observations can be made concerning all five States. In every case observed, the project application review process was less than systematic. To date, none of the States visited has exploited the potential usefulness of information contained in project applications as the basis for monitoring. There appears to be very little feedback of information to LEA's within the State. For example, none of the States regularly produces a listing of the LEA's which operate projects of similar size, scope, and content.

b. Monitoring. Even though monitoring activities in the five States vary in focus and process, site visits form the keystone of State monitoring. In Oregon, Massachusetts, and Texas, site visits are usually made by a single member of the SEA Title I staff and tend to be about one-half day to two days in length. These three States use the same staff who review and approve applications to monitor Title I projects. Both Massachusetts and Oregon aim at making one site visit per year to each LEA; in practice, the monitoring cycle is nearer one visit every two years. The site visit form used in Massachusetts relies on subjective appraisals by the monitor of the quality of the project and the extent to which the project is operating as described in the application. Occasionally, Massachusetts does use other than Title I staff from the SEA to make site visits. Oregon site visit reports focus on descriptive information on project operations and call for an overall rating of the project by the monitor. Oregon personnel, however, could supply no data on the proportion of projects which fall into each of their four rating categories.

Texas concentrates its monitoring activities on LEA's where problems have been uncovered either during review of the project applications or during the preceding year. Thus, in Texas, monitoring is tied directly to the application process. Issues of concentration and comparability are

of primary concern in Texas site visits, while Massachusetts and Oregon staffs focus on program content. Local Title I expenditures in Texas are monitored through quarterly financial reports submitted to the Program Funds Management staff, while fiscal audits (which are on a five-year cycle) are handled by another part of the Texas Education Agency. In Oregon and Massachusetts, the auditor is a part of the Title I staff, although in Oregon site visits play a relatively small part in the audit process.

Monitoring procedures in New Jersey and Pennsylvania are different from those used in the above three States. Both States utilize a team approach to site visits. New Jersey monitors by exception. Each of the 26 large LEA's is required to file monthly program evaluation reports indicating the current status of Title I projects. The Title I project directors rate the progress of their projects and cite any problems which may have arisen. If a problem is critical, the SEA sends in a monitoring team; if there is no crisis, the monthly report is attached to the LEA file for use on regularly scheduled site visits. Each of the large LEA's is visited by a monitoring team at least once and probably several times per year. Written as well as verbal reports are given to the LEA's. Beginning in FY '71, the Title I staff will concentrate monitoring efforts on program management, while other SEA staff, i.e., evaluation staff and subject matter specialists, will assume responsibility for monitoring program content.

Pennsylvania has an on-site evaluation or monitoring system which uses monitoring teams assembled by the SEA from among a list of college teachers, principals, local Title I directors, and teachers. These evaluators, who must come from outside the LEA being monitored, are paid from local Title I funds which the SEA requires the LEA to set aside for that purpose. In school year 1969-1970, Pennsylvania operated on a two-year cycle of visits, but is shifting to a three-year cycle. The monitoring process begins with an LEA self-evaluation, which must be completed three weeks prior to the site visit. The monitoring team then scores the project on the same points covered in the self-evaluation. State officials view this system as useful both as a learning experience for the monitors and for the LEA undergoing the self-evaluation and on-site review. There are weaknesses in Pennsylvania's on-site system as presently constituted: not enough training for monitors is provided; there are severe problems of reliability and validity; the connection to fiscal audits is virtually nonexistent; and not enough attention is paid to outputs. (In Pennsylvania, only 24 fiscal audits were completed last year: an apparent 20-year cycle.)

Not one of the States visited has an adequate monitoring system, although each has something of value. None of the States has an adequate system for ensuring that deficiencies found through monitoring are corrected. Each SEA could benefit from a more systematic approach to monitoring; most could benefit from closer coordination with fiscal audits and with other parts of the SEA involved in site visits. There is probably no single monitoring system which would be applicable in every State; therefore, several different models ought to be developed. Because of the variation which exists among the States in the way they monitor programs, all States could likely benefit from sharing information about existing monitoring procedures and ways to improve upon them.

c. Evaluation. Aside from the monitoring activities described above, there was very little in the way of evaluation going on in the five States visited. Each year, these States--like the other 45--are required to submit an annual evaluation report on the Title I program to OE. For the past three years, OE has given the States a set of open-ended questions around which to build the annual report on Title I. By and large, the States visited take those questions or other materials developed by OE and pass them on to local school districts for completion, compile the responses, and use them as the basis of the report sent to OE.

The procedures used by the States to meet the OE reporting requirement vary somewhat due in part to the organization of the SEA, in part to the pressures on the Title I staff, and in part to the importance placed by the State personnel on the utility of evaluation. In Oregon, even though an evaluation specialist is assigned to the Title I staff, the evaluation data collected in the State are primarily the basic data needed to meet OE reporting requirements. The State Department officials are aware of significant variation in both the quality and quantity of local project evaluation within the State. (Oregon officials oppose the notion of comparative local evaluation on the grounds that each project or LEA should develop individualized objectives. Project personnel are encouraged to visit other projects to observe and possibly adapt what is seen, but not necessarily to agree on common goals, objectives, and evaluation strategy.)

The Title I staff in Massachusetts are collectively responsible for all aspects of Title I, including evaluation. In the early years of Title I, the compiling of the State's annual evaluation report was done on a part-time basis by several members of the already overburdened Title I staff. Since FY 1968, the State has relied primarily on outside consultants to prepare the annual report. The consultants work only part-time for the State and provide some technical assistance to local school districts in addition to the preparation of the annual report. Massachusetts officials are not satisfied either with the quality of the report submitted to OE or with the state of evaluation at the local level. In fact, Massachusetts recognizes that the report filed with OE is hardly an "evaluation" of Title I activities in the State and has dropped the word from the title of the report. Massachusetts plans to improve the quality of local evaluation by requiring that Title I projects provide evidence of evaluative success prior to approval by the State. However, because of the incongruence of the evaluation and project approval cycles, this requirement will initially apply only to summer project applications. Early this spring, the Massachusetts Advisory Council on Education issued a report on the operation of compensatory education programs in the State. Entitled Blueprint for Action, 4/ the report makes specific recommendations on ways to improve several aspects of program operations, including evaluation at State and local levels.

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4/ Daniel G. Jordan, Blueprint for Action, University of Massachusetts School of Education, Amherst: March 1970.

The New Jersey annual report, like the Oregon and Massachusetts reports, is based entirely on the LEA responses to the OE questions. The 26 largest LEA's are required to submit additional data (such as test scores or the results of evaluations done by consultants), but the State does not make use of this information in its annual Title I report to OE. Beginning this year, Title I evaluation activities in New Jersey are to be centralized. The director of the new Office of Evaluation has been working with the 26 LEA's in an attempt to set up a cooperative evaluation effort based on collection of comparable cognitive data. The LEA's have been asked to turn back to the SEA 1% of their total Title I allocation to be used for common testing of students in the districts. While the LEA's appear receptive to the idea of some cooperative evaluation, there is resistance to comparisons of projects across districts.

Pennsylvania, like New Jersey, has centralized evaluation. But unlike the other States discussed so far, Pennsylvania has invested its own funds in the development of a comprehensive system for evaluating elementary and secondary education which is independent of Title I evaluation. (As in other States visited, Pennsylvania's annual report on Title I is based primarily on information collected from the LEA's to meet OE requirements.) Pennsylvania is spending about $225,000 per year on its Quality Assessment Project, which is an effort to establish the goals of quality education in Pennsylvania and to measure progress towards those goals. This project has just emerged from its research phase into its operational phase, in which school districts participate on a voluntary basis. This second phase of the project will gather information on all children in grades five and eleven of schools in the sample (about 10% of the population of fifth and eleventh grade students in the State). Eventually, other grades will be brought into the project which is designed to "provide each school district with relevant comparative data to enable directors and administrators to more readily appraise the educational performance and to effectuate without delay the strengthening of the district's educational program. Tests developed ... [in conjunction with this project] shall be used for the purpose of providing a uniform evaluation of each school district ...." 5/ If the Quality Assessment Project is successful, Pennsylvania will have information which can be used to develop a project rating system and to design program strategy evaluations as well.

Texas has taken a different approach from other States visited in satisfying its mandated reporting requirement. Planning and evaluation activities in the Texas Education Agency have been centralized under an Associate Commissioner of Education for three years and, as a result, are entirely removed from the operation of the Title I program. Beginning in FY 1970, Texas built its Title I evaluation around the Belmont system. Both the CPIR and the PCI have been expanded into a statistically valid sample of the State's 1100 school districts. In addition, the State plans

5/ Educational Testing Service, A Plan for Evaluating the Quality of Educational Programs in Pennsylvania, Princeton: June 30, 1965, p. 7.

to collect some basic census-type data for all the Texas school systems. The evaluation staff in Texas expects the information generated in this way to provide sufficient material for the State's FY 1970 report to OE. The success of this approach depends largely on the quality of the OE analysis of the Belmont data since Texas intends to use the OE analysis as the basis for its own analysis. In FY 1969, Texas attempted to carry out an ex post facto longitudinal evaluation of Title I in a sample of school districts, but had to abandon the project because the local districts did not have the records necessary to carry out such an evaluation.

Texas was the only State visited where monitoring and evaluation activities are entirely independent of one another. The division which does most of the site monitoring and which is responsible for Title I project approval plays little or no part in the evaluation process.

C. Concluding Observations Concerning the Organization and Conduct of Evaluation at the State Level

At the beginning of this chapter, three substantive tasks were identified toward which State evaluation activities should be directed:

-- Assisting and improving State program planning and management efforts.

-- Assisting and improving local program planning and management efforts.

-- Assisting Federal planning and evaluation efforts.

Evaluation as a part of the decision-making process is a relatively new phenomenon at the State level. In many cases, the impetus for evaluation came exclusively from Federal requirements and specifically, from the requirements of ESEA. If the sample of States visited during this study is representative of activities among the 50 States, then it is quite clear that Federal requirements will continue to shape and to dominate State evaluation activities. Unfortunately, even though States expend time and effort to meet OE evaluation requirements, the information so generated is rarely useful to the States and only slightly more useful to OE.

During the first two years of the Title I program, the Office of Education prepared a set of detailed questions concerning the operation of the Title I program which served as the basis of each State's annual report. Federal Title I officials made a conscious decision not to enforce uniform reporting requirements on the States, but to rely on the information contained in the State reports and hope that such information would be comparable. As a result, the first two reports to Congress on Title I suffered from a lack of comparable data on students, teachers, programs offered, or benefits associated with participation in compensatory education programs. Beginning in FY 1968, OE changed its approach to Title I evaluation and carried out directly a national survey of selected elementary grades to gather information on compensatory education services and programs. [This survey, which is now part of the Belmont system, is discussed in Chapter II and Appendix E.] In order to supplement the information in the survey, OE revised the rather detailed set of questions used in the preparation of State annual reports. Since FY 1968, the requirements for State annual reports have taken the form of between nine and thirteen open-ended questions about Title I activities. These broadly-framed questions were intended to remove some of the more burdensome requirements on the States and to allow the States the flexibility to develop evaluation systems more nearly suited to State needs. This does not yet appear to have happened to any significant degree, however.

Typically, States send out evaluation guidelines or requests for information to LEA's long <u>after</u> the school year has begun. In fact, requests usually go out in the spring or near the end of the academic year when the State is in a very poor position to influence either the evaluation design or the kind of information collected on Title I projects.

As a result, the project managers only collect information readily available to them. Furthermore, while most States merely collect whatever test data exist (as opposed to requiring uniform testing or the use of selected tests), the test data are often not processed until late in the summer. The reports filed by LEA's reach the State after decisions on project approval for the next year are made.

As presently constructed, the annual State reports to OE provide little information on the extent to which projects are meeting stated objectives. In all too few instances do Title I project evaluation designs include comparison or control groups. The information reported on achievement, while accounting for a significantly greater number of children than does the national survey (the PCI), contains nothing to indicate the characteristics of the reading projects for which data are reported or the characteristics of the pupils involved. States are asked to relate program costs to benefits, but the validity and reliability of the responses--where any are provided--are in question.

The timing and the content of State reports minimize the extent to which the State affects local evaluation efforts and greatly reduces the utility of evaluative data in the State decision-making processes.

What remains as the keystone of State evaluation activities is the variety of activities which we have called "monitoring." As has been pointed out, monitoring activities vary in content, structure, organization, and emphases across the States. No matter how haphazardly monitoring activities are carried out, however, they provide the direct opportunity for the State to influence local program development and to collect information used by State personnel in making decisions about project funding. Models for effective and efficient State program monitoring remain to be developed. Such models will have to take into account the variation which exists among the States in the way evaluation and monitoring activities are organized, the staff involved in such activities, and the resources available for their support.

D. Long-Term Strategy for State Evaluation Efforts

This chapter has been concerned with State evaluation efforts viewed from both the State and the Federal perspective. The suggestions for a long-term strategy are intended to guide the Office of Education in its dealings with State Departments of Education in future years. The suggestions emphasize the need for OE to work with the States to develop and improve their capacity to evaluate programs. Because of the wide variations in needs, resources and skills within State Departments of Education, OE should resist attempts to treat SEA's as if they were all of equal capacity. In other words, OE should be firm but flexible in its dealings with SEA's. Until a great deal more is known about how SEA's are organized and how they discharge their responsibilities, OE should attempt to work with some States to develop alternative models for State evaluation activities.

1. Recommendations for Improving Evaluation Activities Directed Toward Assisting State Planning and Management Efforts

a. OE should encourage State evaluation activities which are directed toward the following high priority areas:

(1) the improvement of monitoring within the State;

(2) improved needs assessment within the State;

(3) the development of project rating systems;

(4) improved capacity to do comparative cost analyses;

(5) the design and execution of program strategy evaluation.

b. OE should encourage States to set up comprehensive evaluation systems which, at a minimum, include

(1) the specification of measurable objectives for quality education within the State;

(2) utilization of common output measures which measure progress toward those objectives;

(3) provision for longitudinal, as well as cross-sectional evaluation;

(4) the identification of "good" and "bad" practices with regard to compensatory education;

(5) the widespread dissemination of evaluation findings;

(6) the means of identification and comparison of program costs, down to the campus level;

(7) provision for the feedback of evaluation findings into State decision-making.

c. OE should give highest evaluation priority to the improvement of State monitoring activities through the development, in conjunction with several States, of models for State monitoring systems. These models should probably contain a common core of information but should allow for variations in State organization and in the composition of the population of students and school systems in the State. The models should provide for systematic, comprehensive monitoring of projects, including such elements as:

(1) purposeful assignment of staff to monitoring sites. The basis for assignment should include sending some of the same people to visit comparable projects;

(2) SEA preparation of pre-site visit profiles prior to the visit, based upon information available in the SEA (e.g., project application forms, prior evaluations, previous site visit reports);

(3) use of a combination of open-ended and specific monitoring questions;

(4) training of monitors;

(5) the use of monitoring teams (especially for large LEA's) in which each member concentrates on a different area of program operation;

(6) linking financial and program audits;

(7) the filing of written site reports which include an overall assessment by the team of the LEA(s) or project(s) visited;

(8) prompt feedback to the LEA visited;

(9) adequate provision for follow-up of site visits;

(10) development of inexpensive, short-term measures of educational performance;

(11) provision for annual review and revision of all or part of the monitoring system.

The development of several models will allow variation in such important areas as: (a) SEA staff used as monitors; (b) the mix of site visits, written materials, and statistical information used in the system; (c) the use of self-evaluation prior to a site visit; (d) the scheduling and length of site visits; (e) the number and type of progress reports filed by the LEA's during the year.

d. OE should spend a portion of its evaluation funds to help selected SEA's develop models for State monitoring and to support improved State comprehensive evaluation. In addition, legislative authority should be sought for increased State Title I administrative funds, part or all of the increase to be earmarked for the support of monitoring and evaluation activities.

2. Recommendations to Improve State Evaluation Activities which Would Assist Local Planning and Management Efforts

a. OE should encourage the States to foster cooperative local evaluation efforts which include the use of common evaluation designs and common output measures.

b. OE should assist States to develop explicit instructions on the design of LEA project evaluations, to offer examples of appropriate techniques or instruments, recommend and/or locate consultants, and set guidelines for expenditures for such evaluations.

c. OE should encourage States to seek out and publicize examples of both good projects and good local evaluation practices.

d. OE should assist the States to develop regular and rapid techniques to feedback to LEA's information about what other LEA's are doing elsewhere in the State.

e. OE should work closely with the States in their efforts to get school districts to write performance objectives for Title I projects.

3. Recommendations to Improve State Evaluation Activities which Would Assist Federal Planning and Evaluation Efforts

a. OE should work with the States to restructure the format of the annual State reports to focus primarily on the reporting of the results of State monitoring activities.

b. OE should encourage neighboring States or States with similar pupil populations or problems to collaborate in the development of similar evaluation and monitoring systems.

c. OE staff should become familiar with the organization and operation of State evaluation and monitoring activities through continuation and strengthening of State Management Reviews, through augmented and improved Title I Program Reviews and through close coordination of evaluation efforts among OE programs (particularly Titles I, III, VII, VIII, and Vocational Education.)

E. Next Steps for Improving State Evaluation Efforts

1. OPPE should allocate a part of the FY 1971 evaluation funds for the development of several models of comprehensive State monitoring systems. OPPE and DCE staffs should work closely with two or more States in the selection of a contractor and in the design, installation, and testing of the prototype monitoring systems. [Cost estimate for the development of each model: $25,000-$50,000.] Monitoring of these contracts should be the responsibility of DCE staff.

2. DCE should develop a more systematic approach to its own monitoring of the State Departments of Education through improvements and refinements in its Program Review. Many of the elements specified in the recommendation (1c) of the previous section ought to be included in the DCE Program Review. When possible, the Program Reviews ought to dovetail with State Management Reviews. For example, the Program Review might be an extension of a State Management Review; in this case, at least one DCE staff member could participate in the SMR and then could be joined by other DCE staff to conduct a Title I Program Review. Also, as a part of the Program Review, DCE staff should participate, as observers, in SEA monitoring visits to LEA's. Revisions in the Program Review should be made in consultation with staff from BESE, the Division of State Agency Cooperation, and the HEW Audit Agency.

3. DCE, in conjunction with the HEW audit staff, should develop training materials on Title I purposes, guidelines, and organization for use by State auditors. This is especially important since State auditors generally operate independently of Title I monitoring activities.

4. OE should not make significant changes in the format of the State annual Title I reports for FY 1971, but DCE staff working closely with BESE staff and representatives from the SEA's should begin to consider revisions to strengthen the State annual reports. The suggested models of comprehensive State monitoring systems, plus the insights and information obtained from the FY 1971 Program Reviews and the CPIR and PCI, should be important sources of information for revising the reporting format for FY 1972.

5. DCE staff should develop and disseminate materials for State and/or LEA use in writing performance objectives, especially for program areas identified as of high priority (reading, early childhood education, etc.). As a background for this, DCE should attempt to discover the performance objectives now being used in various types of programs.

6. One DCE staff member should be assigned to the development of the Management Appraisal System, the part of the Belmont system concerned with developing an approach and a system for evaluating and improving management in education agencies. The Texas Education Agency has just received a contract to begin work, in conjunction with several other States, on this system.

# IV. EVALUATION OF EDUCATION PROGRAMS FOR THE DISADVANTAGED: THE LOCAL ROLE

This study focuses on Title I evaluation and technical assistance at Federal and State levels. To round out the evaluation picture, this chapter discusses constraints on local evaluation efforts and suggests some strategies for strengthening the local role in Title I evaluation.

## A. Types of Evaluation and Evaluation-Related Activities Most Appropriate to LEA Efforts

Urban Institute site visits to the State Education Departments in Massachusetts, New Jersey, Oregon, Pennsylvania, and Texas indicate that SEA staff members believe that LEA's vary widely in their ability and potential to use local evaluation efforts in the following tasks:

-- To assist local program planning and program development;

-- To improve local program operations;

-- To assist State program planning and program management;

-- To assist Federal program planning and evaluation.

Information provided by State personnel in the five States visited by Urban Institute staff suggests that LEA's are best equipped to perform: 1/

-- Data collection on services provided, populations served, and costs of providing services;

-- Local project evaluation (including reliance on outside evaluators and cooperative local evaluation efforts across LEA boundaries).

Local districts would appear least able to perform:

-- Program impact evaluation;

-- Program strategy evaluation;

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1/ Of course, there is a wide range in the ability of LEA's and local projects to perform each of these types of activities. In general, larger sized LEA's are better equipped than medium sized and smaller ones.

-- Project rating; 2/

-- Monitoring;

-- Comparative cost analysis.

B. Constraints on Local Evaluation Efforts

Urban Institute interviews with State agency staff in five States and data collected by the Great Cities Research Council 3/ suggest the following constraints on local evaluation efforts:

1. Financial--lack of money to develop adequate evaluation designs, hire outside consultants, develop computer capability, etc. Since most projects spend approximately one to two percent of their Title I funds on evaluation, 4/ it might be desirable to increase the proportion of funds devoted to evaluation (at least in some LEA's). Part of OE's evaluation money could be used to support promising local project evaluations. The Office of Education should provide direction on the appropriate proportion of funds which should be allocated for local project evaluation and on the desirability of performing project and program monitoring and process evaluation.

2. Political--since most SEA's are extremely sensitive on issues that might involve "local autonomy," LEA's customarily are not required to make appropriate changes in educational practices as indicated by evaluation results or monitoring activities. One gets the distinct impression from State officials that they are as wary and cautious in their handling of LEA's as the Federal officials are in dealing with SEA's. 5/ In addition, until very recently, public pressure for accountability in education has

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2/ Some LEA's may be making progress here. For example, the New Jersey SEA and the 26 largest LEA's in New Jersey currently are discussing a procedure whereby these school districts will turn back one percent of their Title I allocation to be used for cooperative, comparable evaluation studies. All 26 districts would use the same testing instruments (designed for longitudinal testing), and would collect socioeconomic data on students to allow for comparisons of achievement levels in various schools.

3/ See John L. Hayman, Jr., et al., "Title I in the Great City Schools: An Analysis of Evaluation Practices and Exemplary Projects," The Research Council of the Great City Schools, July 29, 1970.

4/ See February 7, 1968, Minutes of the Directors of Instructional Research in Large Cities. During FY 1968, approximately 11% of LEA Title I funds were used for administration (including evaluation), operation and maintenance of plant, and fixed charges. The FY 1970 Consolidated Program Information Report will include the first local estimates of LEA Title I evaluation expenditures in a nationally representative sample of LEA's.

5/ David K. Cohen and Tyll R. van Geel, "State Government and Poverty: Public Education in Massachusetts," Harvard University Institute of Politics, 1970.

had little impact on local evaluation activities. So long as OE provides no incentive to SEA's to do real evaluation or to improve evaluation, and so long as States, in turn, provide no incentive for local evaluation, projects will continue to be funded with or without evaluation components and in most instances, irrespective of evaluation results. As van Geel has noted:

> "In terms of the evaluation product produced, ... the fact that emerges is that evaluation efforts have been politically safe but educationally meaningless. No one is offended, no names are named, no invidious comparisons are made. These evaluation reports affect the interest of no one since they hardly lend themselves to the decision-making process and the reallocation of resources." 6/

3. Administrative--lack of sufficient staff to design and implement comprehensive evaluations of numerous and varied Title I projects. While larger LEA's have been more successful than many SEA's in recruiting and retaining competent evaluation staffs (due to more attractive salaries and working conditions in large part), LEA's also have had to contend with substantial staff turnover rates and conflicting demands on research staffs.

(Constraints 1, 2, and 3 are in agreement with those found by the President's Task Force on Urban Education.) 7/

4. Methodological--needs for assistance in establishing mechanisms for data collection and processing and in selecting and applying appropriate evaluation tools. Educational evaluation at the local level, as at the State level, is hampered by a lack of specificity in project and program objectives, inadequate or poorly defined output measures, and inability to describe process variables simply and inexpensively.

5. Scheduling--the timing of evaluations with respect to decisions on the next round of project applications has been poor. There is no congruence between the cycle of evaluation and either program planning or decisions concerning funding. Annual reports for one school year are sent to SEA's after decisions have been made concerning programs for the next school year.

6. Lack of support from SEA--it has been observed that some SEA's work more closely with those LEA's receiving the largest proportion of Title I funds. In New Jersey, the largest 26 LEA's are most involved in cooperative efforts with the SEA. And in Massachusetts considerable

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6/ Tyll R. van Geel, "Evaluation and Federalism," Harvard University Graduate School of Education, 1970, p. 33.

7/ See Congressional Record, January 19, 1970, pp. H9 ff., and January 20, 1970, pp. E21 ff.

attention is given to the five largest LEA's (which account for over 50 percent of Title I funds). In these States, small sized and medium sized LEA's are not only less likely to possess evaluation expertise, but also are less likely to receive technical assistance in evaluation-related activities than their larger counterparts.

7. Lack of support from ancillary structures--many LEA's do not appear to have taken advantage of potential relationships with colleges and universities or nearby Regional Educational Laboratories. There is some evidence, however, that these structures have not always been responsive to LEA's that have requested evaluation assistance. In any event, LEA's could benefit from assistance on new evaluation techniques, establishing performance objectives, relating processes to objectives, etc. If they are unable to form the appropriate linkages to receive this assistance, or if the SEA is unable or reluctant to intervene and establish the necessary mechanism, this would be a serious handicap to local evaluation efforts.

8. Lack of support from school administrations--several Title I research directors and coordinators report great difficulty in obtaining clearance for evaluation activities from intermediate administrative echelons. At the Great Cities Research Council conference, 8/ Title I research directors and coordinators commented that, while in some of the large LEA's evaluation staffs have complete freedom to "tell it like it is," some staffs are pressured to report "good" results and others look for evidence of "failure" to report to decision-makers.

9. Lack of support from classroom teachers--several Title I research directors and coordinators report that growing teacher militancy has combined with a view of evaluation as an intrusion on regular classroom procedures (especially at the end of the school year) to prevent the collection of good evaluation data.

10. Hostility and resistance to evaluation--it would appear that many LEA's share the resistance of SEA's to the notion of comparative assessment. Partly related to strong feelings on the issue of "local autonomy," undoubtedly this resistance also is based on fears about decisions that would be made as the result of the use of evaluation.

11. The way in which decision-making takes place--Title I not only calls for the establishment of a new program priority at the local level (i.e., special attention to disadvantaged children) but also for a new process priority at the local level--a process that attempts to be vastly more rational and rigorous than the way decision-making is now conducted in local school systems. 9/ Among the obstacles to reforming the decision-making process of a local school system are: a generally uncritical

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8/ The conference was held June 7-9, 1970, at Lake Placid, New York.

9/ See Tyll R. van Geel, op. cit., pp. 63-72, and David Rogers, 110 Livingston Street: Politics and Bureaucracy in the New York City School System, 1968.

satisfaction with regard to the job the school system is doing; the organization of the system not so much as an education-program-producing machine as an employment system, 10/ where one of the unspoken rules of the game is that one avoids as much as possible hurting the interests of another person in the system; 11/ a definite anti-intellectual, anti-rational vein within the school department; an internal organizational structure that is not conducive to effective planning; and the isolation of the school system which not only fails to import large numbers of new and diverse kinds of people each year, but also adopts a defensive posture and isolates itself from forces within the community that would change it.

In short, it may be that there is a fundamental incompatibility between the demands of evaluation and the vested interests of many public school systems as they operate today. 12/ What is evident is that there has been a clear absorption of all Federal and State attempts to improve the quality of evaluation. The techniques of absorption were many: "do the absolute minimum necessary to meet the legal requirements (which are minimal at best); simply delay in the execution of the specific recommendations of the State; point-blank refusal to comply with some of the suggestions; and execute some of the suggestions so poorly that they need to be done all over again." 13/ Other delaying tactics are to argue at great length about the inappropriateness of the tests in relation to the objectives of a program and to confuse the issue as to what the objectives of the program are. While not all of these tactics are intentionally planned to postpone educational reform, nevertheless, the effect is very much the same.

Unless and until these obstacles to reforming decision-making in the LEA are overcome, evaluation requirements will have little chance of bringing about real changes. 14/ For it is abundantly clear that unless a school system accepts the full implications of an evaluation requirement, it will simply do its evaluations in a pro forma manner in order to remain eligible for Title I money.

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10/ The Boston school system, for example, has traditionally been characterized by a high degree of in-breeding. Large numbers of persons schooled in Boston have returned to teach in the same system.

11/ Since evaluation potentially involves a critical comment on how well people are doing their jobs, there is little sympathy for the aetivity.

12/ Tyll R. van Geel, op. cit., pp. 57-58.

13/ Tyll R. van Geel, op. cit., pp. 31-32. If it is thought that Boston might be atypical in the techniques used or in the nature and quality of its evaluation reports, van Geel notes that studies by New England Data Systems and the Massachusetts Advisory Council on Education show that the evaluation efforts elsewhere in New England, including Massachusetts, are if anything of lower quality than those carried out in Boston. These reports indicate that despite the legal requirements, as many as half of the LEA's have avoided evaluating their Title I programs, and that most of the local school systems that have evaluated their programs have compromised the whole concept of rigorous evaluation.

14/ Ibid., p. 63.

C. Conclusions and Recommendations Concerning the Local Role in Evaluation

In spite of the identifiable constraints to evaluation at the local level, the climate appears favorable to substantial progress in many communities. The demand for evaluation from various educational funding sources, the increased participation of industry in education, the emphasis on dissemination and accountability, the thrust toward writing performance objectives, the gradual improvement in training programs in evaluation, and the increase in the number of empirically oriented members of lay boards and governing boards of education are seen by research directors and Title I coordinators as interrelating to create a more favorable atmosphere for increasing the LEA's participation in educational evaluation and for improving the quality of the evaluation that is performed.

With these factors in mind, four major recommendations are offered to increase and strengthen the local role in evaluation and evaluation-related activities:

1. The kinds of evaluations that local school systems should be carrying out are neither applied nor basic research in the strict sense of those terms. Rather, evaluation at the local level should be management-oriented, with a stress on quality control. Local evaluation should make sure that the needs of students are being met, that programs are executed as planned, and that results are assessed. 15/

In particular, the Division of Compensatory Education should work with SEA's and LEA's to help develop new accounting or cost estimating systems to increase local evaluation capabilities and to provide data to meet SEA and Federal requirements. For example, in order to assist decisions on whether comparability is being achieved in the expenditure of local funds in Title I and non-Title I schools within a school district, data will be needed on services being delivered to individual schools and costs of such services. At the present time, only a relatively small number of school districts can provide expenditure data on a school-by-school basis.

2. LEA's should work together to establish cooperative mechanisms for more uniform, comparable, objective evaluation of the degree of effectiveness of alternative compensatory education strategies under varying circumstances. As indicated earlier, these cooperative efforts should provide for systematic examination of major program variations; collection of comparable data on costs, process, and outputs; and collection of comparable follow-up data on the impact of the different approaches used.

3. Since local Title I evaluation dollars are often wasted on unrelated, noncomparable evaluations of individual Title I projects, 16/ groups of LEA's should organize to collect comparable output data for

15/ Tyll R. van Geel, op. cit., pp. 4-5.

16/ At the conference of the Great Cities Research Council, Title I research directors and coordinators indicated a recognition of the unnecessary duplication of data gathering among various projects and the lack of a consistent data collection procedure.

those projects with similar objectives serving similar groups of children. This would assist project rating and monitoring activities, greatly strengthen the Project Descriptor effort within the Belmont system, and could provide the basis for subsequent program strategy evaluation. LEA's and local school superintendents and school system staffs also could use such information to assist decision-making on school budgets and to reach decisions on the allocation of existing resources.

The Office of Education should encourage cooperative Office of Education-State Educational Agency-Local Educational Agency and Office of Education-Local Educational Agency-Local Educational Agency efforts to introduce greater comparability into local evaluations of Title I projects with similar objectives. OE evaluation funds and technical assistance should be channeled to groups of cooperating States or groups of cooperating localities that share similar problems and are willing to do comparable compensatory education project evaluations from which all can learn. These cooperative efforts should provide for systematic examinations of major program variations; collection of comparable data on contexts, costs, and short-term and longer-term outputs.

The Office of Education should attempt to limit unrelated evaluations of individual local projects to timely comparisons of project results with previously stated performance objectives or with baseline conditions, and should attempt to induce greater comparability in statements of local Title I project objectives, in measurements of the degree to which project objectives are attained, and in descriptions of the populations served and of the contexts in which the projects operate.

The Office of Education and SEA's should encourage LEA's to use common evaluation instruments and equal intervals between test administrations. The Belmont staff should take the lead in these efforts.

4. States should encourage LEA's to make available to parents and community representatives measures of the distribution of Federal, State, and local funds to each school in a school district and periodic assessments of the standing of each school on several output measures. 17/ Since the Title I legislation requires the participation of citizen advisory groups in planning and evaluating the Title I program, SEA's could require LEA's to provide such information in order for the advisory groups to discharge their responsibilities. To make these efforts meaningful, it will be necessary to collect social class data on the student body in each school on an annual basis, and perhaps on some other indicators of the student population and the neighborhood in which each school is located.

LEA's should develop ways for teachers, parents, administrators, and students to work together to develop project goals and criteria of project success. LEA's also can provide important inputs to a system for Federal/State monitoring of Title I projects by organizing local advisory committees of community residents to provide regular assessments of Title I projects. 18/

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17/ At the conference of the Great Cities Research Council, several Title I research directors and coordinators favored assigning researchers to work directly with parents and teachers.

18/ At the above-mentioned conference, many of the persons assembled suggested the use of in-class observation by parents as part of the evaluation process.

D. Other Research on the Local Role in Evaluation

Research efforts of the Great Cities Research Council should add to the information presented and sharpen the picture of the local role in evaluation and evaluation-related activities.

The objectives of the research by the Great Cities Research Council are as follows: 19/

(a) To produce examples of "good" Title I programs from the 20 members of the Council. 20/

(b) To identify factors related to the success or failure of Title I programs.

(c) To suggest ways to improve Title I evaluations.

(d) To broaden the scope of evaluation efforts.

Data have been collected from interviews with Title I research directors and coordinators and at a conference of research directors, coordinators, curriculum specialists, teachers, and administrators. 21/ Analysis of these data produced recommendations on:

(a) The assignment of organizational responsibilities for evaluation.

(b) Resources needed and available to support local evaluation efforts.

(c) The impact of local evaluation activities on policies and practices affecting the education of disadvantaged children.

While the conclusions drawn from the Great Cities interviews have been presented in their entirety in the Great Cities Research Council's report, 22/ we focus here on the six principal findings and recommendations that most specifically pertain to local evaluation efforts:

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19/ These objectives are taken from a Great Cities Research Council document.

20/ An additional purpose is to identify successful evaluations of Title I projects done by locals or outside contractors.

21/ The conference was divided into four sessions designed to contribute information about Title I project design and/or evaluation. The sessions were titled: Problems, solutions, and fiascoes; problems in evaluating Title I projects; developing Title I evaluations from case studies; and force field analysis.

22/ See John L. Hayman, Jr., et al., op. cit.

(a) Study is needed to develop methods for continuous monitoring of projects and for other aspects of process (or formative) evaluation in a non-threatening and economically feasible way. Consideration should be given to varying evaluation methods according to project size, complexity, and developmental state.

Comment. While such efforts undoubtedly would be methodologically valuable, they would be extremely expensive and time consuming. We have recommended that the Office of Education should give highest priority to short-term, relatively inexpensive comparisons of project outcomes with previously stated performance objectives or baseline conditions.

(b) The effects of many programs carry on over a period of years. A concerted effort is needed to develop methods of assessing project effects over a longer period of time.

Comment. We recommend that SEA's be urged to use money provided under Section 402 of ESEA Amendments for this purpose. In addition, we have indicated elsewhere that the Project Descriptor effort within the Belmont system has begun to collect comparable data on local projects in a number of Federal education programs (including Title I). The effort provides statistical and narrative data on the context in which local projects operate, the organization and budget of the local projects, and the changes achieved by the projects. The Project Descriptor effort could provide the basis for subsequent longitudinal, program strategy evaluation at the Federal level, and also could assist LEA's in project rating activities.

(c) Some important effects of current Title I projects are unanticipated, hence unmeasured. A systematic study of those effects identified as unanticipated would help evaluators of future projects determine in advance what effects might be expected.

(d) There is currently national recognition of the need for precise behavioral objectives for both project planning and evaluation. Efforts at preparing behavioral objectives need to be more widely publicized.

(e) Current evaluation practices seem to rely too heavily on standardized achievement tests. Consideration should be given to the wider range of variables that need to be measured and to the kind of instrumentation needed.

Comment. Our discussion of research instruments to measure progress toward Title I objectives and requirements for further instrument development (see Chapter V) is in substantial agreement with each of these findings. However, it appears to us that the current state-of-the-art in instrument development and related tasks is somewhat more advanced than recommendations (c), (d), and (e) might lead one to believe. Table 1 of Chapter V represents an attempt to identify types of information needed to measure progress toward Title I objectives (including outcomes that might have been unanticipated) and a wide range of specific research instruments now available to obtain this information.

(f) With the current financial problems faced by most large school systems, the temptations are great to reduce the expenditures for evaluation. A minimum of five percent of Title I funds is suggested for evaluation, with additional funds available for those projects requiring more costly evaluations.

Comment. It is our judgment that the cost of allocating a minimum of five percent of Title I funds to local project evaluation (more than $50 million per year) would be prohibitive. While we have recommended that the Office of Education should provide direction on the appropriate proportion of funds which should be allocated to local project evaluation, we have stressed that the emphasis be placed on monitoring and related activities. Done on a sampling basis, monitoring could provide timely information on the strengths and weaknesses of local projects and could collect information on the experience of school districts with similar problems or projects.

Finally, an examination of the Great Cities interview data reveals that Title I research directors and coordinators identify the same projects and evaluations as successful and hold very similar opinions on criteria for successful local evaluations and problems of evaluation at the local level.

The major problems identified in the development of Title I project designs were training research personnel, decision-making, developing procedures for measuring unintended effects, and not being able to carry out process evaluation. Major problems identified in the evaluation of Title I projects were frequently changing objectives; a lack of evaluation of the impact of projects on parents, teachers, and communities; insufficient attention to such output measures as organizational change, community

attitudes, and changes in teacher behavior, and a shortage of local consultants. A content analysis of the remarks made at the conference session on problems, solutions, and fiascoes reveals that there were many more examples of problems than solutions provided. 23/

23/ Unfortunately, there is no way of assessing how many conference participants held particular opinions. No statistical accounting was performed for any of the conference findings. Conference findings cited in this chapter rest on the judgments of Great Cities Research Council staff members.

# V. TITLE I EVALUATION: IMPLICATIONS OF EXISTING METHODOLOGY, INSTRUMENTS AVAILABLE TO MEASURE PROGRESS TOWARD TITLE I OBJECTIVES, AND REQUIREMENTS FOR FURTHER INSTRUMENT DEVELOPMENT

This chapter examines existing evaluation methodology, assesses its limitations, identifies requirements for more effective evaluation, and explores ways that Federal, State, and local energies might be directed toward this end. The discussion includes the identification of research instruments available to measure progress toward Title I objectives.

## A. Implications of Existing Methodology

Until now, most evaluations of federally aided compensatory education programs have failed to meet even minimal requirements. The best of the Title I project evaluations done to date usually are little more than educational audits designed to meet annual deadlines set by the Office of Education and State Departments of Education. They do not begin to explain the processes that bring about the results that have been observed.

More specifically, educational researchers report a host of evaluative problems appearing with considerable frequency in programs of compensatory education. Some of the more common situations, with obvious implications for evaluation methodology are as follows:

1. While it generally is assumed that evaluative studies are conducted to guide decisions concerning the continuation, expansion, redirection, or elimination of educational projects, an examination of many educational evaluations reveals that decision-making and evaluation are carried out (and even perceived) as totally unrelated activities.

2. Evaluation generally has been conceived as a separate endeavor from program development, and the thrust of much educational evaluation has been to take a total program and judge it as either worthy or unworthy. This approach, which has limited usefulness because it fails to relate treatment to events, contrasts with efforts to find projects that are working better than others, identify <u>why</u>, and improve and replicate them in other settings. The answer to this question "why" requires an analysis of such factors as: (1) the attributes of the project which make it more or less successful; (2) the population exposed to the project, in terms of which subgroups are reached and which affected; (3) the situational context within which the project operates; and (4) the different effects produced by the project, including special attention to any important positive or negative side effects.

3. The pupil population being observed differs. In some States, all pupils in a classroom, grade or school are included in the evaluation; in others (such as Ohio and New Jersey), individual pupils are the basis of the evaluation.

4. While the heterogeneity of groups presents a natural situation for multivariate analysis, most school districts are doing little of this and are struggling with setting down objectives in operational terms. It can be noted here that lack of local expertise in evaluation does not seem to have resulted in large numbers of outside consultants being asked to evaluate local projects. For financial and possibly other reasons, local districts usually do their own evaluations.

5. In many school districts, the same pupils are involved in several projects. This raises the question of whether or not it is possible to sort out the (interactive) effects of these projects.

6. In numerous evaluations of the "pre-test, post test" variety difficulties in interpretation have resulted because of differences in tests used, students used, administration procedures, and statistical treatments.

In an earlier Urban Institute paper four evaluative problems more directly related to research instrumentation were identified: 1/

1. Local and State personnel are unclear about the Office of Education's priorities for Title I and other federally aided compensatory education programs, 2/ resulting in considerable confusion over which "output" measures should be studied. The confusion stems, in part, from disagreements over the relative importance of Title I's several purposes.

2. Some Title I projects may be unevaluable in useful terms. In any event, Title I projects as funded and approved seldom add up to a well-coordinated program in any school or school system. As a result, Title I projects do not resemble the kind of "package" the professional evaluator thinks about when he thinks of educational evaluation. 3/

3. In selecting evaluation criteria for determining project or program success or failure, evaluators have concentrated on children directly participating in the project or program in question, and have largely ignored the effects of those not in the direct focus of the program.

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1/ See Joseph S. Wholey, et al., "Title I Evaluation and Technical Assistance: Report to the Title I Task Force," Urban Institute Working Paper 954-21, August 7, 1970, Appendix G, pages G-6 to G-8 and G-13 to G-15.

2/ This was reported at the April 27, 1970 Conference on Technical Assistance sponsored by the Office of Education and Institute for Services to Education, and during meetings with members of State Departments of Education.

3/ See Henry S. Dyer, "Evaluating Educational Programs: A Symposium," in The Urban Review, February 1969, page 11.

4. Evaluators have tended to ignore the relative importance of two or more criteria when several criteria for determining project or program success or failure may be sensible. The problem of weighting criteria must be addressed if an overall evaluation is to be made.

B. Instruments to Measure Progress Toward Title I Objectives

With the above problems of research instrumentation in mind, this section identifies existing research instruments that can be used to measure the extent of progress toward Title I's many objectives and discusses requirements for further instrument development. As increased emphasis is devoted to setting project objectives in measurable terms, and to encouraging evaluation against these objectives, the identification of these instruments and related information (e.g., date of publication, publisher or developer, time for test administration, cost of administration, etc.) should be of great value to LEA's, SEA's, and the Office of Education in both their evaluation and technical assistance efforts.

The Title I legislation and amendments, the literally thousands of Title I project proposals each year, and members of five State Departments of Education have clearly articulated and implicitly suggested a great number of varied (and frequently changing) objectives. While there are numerous ways to categorize these objectives, 4/one convenient way is according to target population. 5/

1. Elementary School and High School Students (and Dropouts) 6/

   a. To improve cognitive development

      (1) Language skills
      (2) Communication skills
      (3) Computational skills
      (4) Conceptual skills
      (5) Perceptual skills

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4/ Many of the sub-objectives in categories 1, 2, and 3 are suggested in Fry Consultants, Inc., Improving Coordination of Education Programs for the Disadvantaged, June 12, 1970.

5/ This list of Title I objectives and sub-objectives is not meant to be exhaustive. Rather, it represents an attempt to identify the most common Title I objectives to which specific research instruments can be attached later.

6/ The reader is cautioned that this categorization excludes migrant children and neglected and delinquent children served under the Title I program. Of course, many more Title I projects are aimed at elementary than high school students.

b. To improve social and behavioral development

(1) Self-image and self-awareness (fate control)
(2) Ethnic pride
(3) Emotional and social stability
(4) Attitudes toward education and learning
(5) Attitudes toward community and environment
(6) Educational and occupational aspirations
(7) Interpersonal relationships
(8) Preparation for world of work

c. To improve physical and mental health

(1) Physical health
(2) Nutrition
(3) Mental health

d. To increase use of educational resources

2. Teachers

a. To improve in-service training programs

(1) Attitudes toward students and their educability
(2) Conceptions of authority
(3) Interpersonal relationships
(4) Awareness of up-to-date materials and techniques
(5) Classroom climate (teacher supportiveness)

b. To improve ability to interpret and diagnose student needs and levels of performance

3. Parents

a. To provide environmental reinforcement to children's learning

(1) Attitudes toward child development
(2) Attitudes toward education and learning

b. To improve social and behavioral development

(1) Emotional and social stability
(2) Interpersonal relationships

4. Title I Schools and Communities 7/

   a. To overcome inequities in the distribution of educational resources

   b. To increase the quantity of educational supplies and materials

   c. To reduce or eliminate racial or social class segregation

   d. To reduce dropout rates

   e. To increase average daily attendance and reduce tardiness and truancy

   f. To improve community attitudes toward learning

   g. To provide the impetus and create the climate for educational and institutional change

Given this categorization of the most recurring of Title I's numerous and varied objectives, it is appropriate to attempt to identify (a) the types of information needed to measure progress toward these objectives and (b) specific research instruments that can be used to obtain this information. This identification is best accomplished by a tabular presentation. 8/

It is important to add that some excellent resource materials and services already exist to aid in the identification of research instruments. For example, the Educational Testing Service at Princeton, New Jersey, has collected and catalogued the names of some 6,000 tests along with information on time needed for administration, cost, publishing company, and date of first publication. 9/ More complete coverage is provided by the various editions of the Mental Measurements Yearbook (ed. by Oscar K. Buros, most recently published in 1965). Routine information on publisher, price, forms, age of subjects for which test is suitable, published references pertaining to each test, and critical reviews by one or more test experts are regularly provided in this publication. In addition, a number of psychological and educational journals publish

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7/ In this category, the focus changes from individual students, teachers, and parents to total communities or schools.

8/ Gaps in Table I indicate that research instruments do not exist to measure progress toward the particular objective. The notation of "parent or teacher survey" means that no survey specifically related to the information needed could be located, although items imbedded in existing surveys might suffice.

9/ The Educational Testing Service makes no assessment of the appropriateness of each test. The cooperation of Eleanor Horn, Donald Melville, and Virginia Shipman of ETS is gratefully acknowledged.

reviews of existing tests and abstracts and articles about new tests which may well pertain to the goals of Title I and other programs of compensatory education. The reader is referred to Educational and Psychological Measurement, Review of Educational Research, Journal of Counseling Psychology, Personnel and Guidance Journal, and Personnel Psychology. Finally, a number of test publishers regularly issue test catalogues (see Appendix E).

Obviously, the intent of this paper is not to duplicate the work of these varied resources. Therefore, our presentation is an attempt to select from a vast number of research instruments those most appropriate to measure progress toward selected objectives. Choices are based on recommendations of educational evaluators, identification of promise based on recent or current pilot efforts, or previous use with target populations similar to those in the focus of Title I projects. 10/

10/ All research instruments listed in Table V-1 are arranged alphabetically in Appendix F, with publisher or chief researcher and institutional affiliation identified. A short description of each instrument is included where one could be located. Appendix G, developed by Jill Travis at O.E.O., includes a list of instruments recently developed under Head Start research and evaluation contracts and grants that appear appropriate for use in Title I programs. Instruments that appear specifically appropriate to the objectives above are included in Table V-1.

TABLE V-1

TYPES OF INFORMATION NEEDED AND RESEARCH INSTRUMENTS AVAILABLE
TO MEASURE PROGRESS TOWARD TITLE I OBJECTIVES

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS[a] |
|---|---|---|---|
| Elementary school and high school students | a. To improve cognitive development<br><br>1. Language skills<br>2. Communications skills<br>3. Computational skills<br>4. Conceptual skills<br>5. Perceptual skills | Reading achievement scores | Boehm Test of Basic Concepts (1,2,4)<br>Cognitive Abilities Test (1,2,3,4,5)<br>Gates-MacGinitie Reading Tests (1,2,4,5)<br>Hess and Shipman Eight Block Sorting Task (1,2,4)<br>Illinois Test of Psycholinguistic Abilities (1,2,4,5)<br>Iowa Tests of Basic Skills (1,2,3,4,5)<br>Lee-Clark Reading Readiness Test (1,2,4,5)<br>Metropolitan Readiness Tests (1,2,5)<br>Neurological Evaluation (5)<br>Preschool Embedded Figures Test (4,5)<br>Sequential Tests of Educational Progress (1,2,3,4,5)<br>Stanford Achievement Test (1,2,3,4,5) |
| | | Standard achievement tests | California Achievement Tests (1,2,3,4,5)<br>Gumpgookies (2,3)<br>Iowa Tests of Basic Skills (1,2,3,4,5)<br>Metropolitan Achievement Test (1,2,3,4,5)<br>Sequential Tests of Educational Progress (1,2,3,4,5)<br>Stanford Early School Achievement Test (1,2,3,4,5) |
| | | I.Q. scores | Chicago Nonverbal Examination (1,2,5)<br>Cooperative School and College Abilities Test (1,2,3,4,5)<br>Culture Fair Intelligence Test (3,4,5)<br>Goodenough-Harris Drawing Test (5)<br>Peabody Picture Vocabulary Test (1,2,4,5) |

(a) In parentheses after each instrument are the sub-objectives most appropriate to the instrument. Most of the research instruments are briefly described in Appendix F, with the listing arranged alphabetically and the test publisher or name of principal researcher noted. Instruments not included in Appendix F are readily available to members of the Title I Task Force (e.g., Follow Through surveys, Belmont system instruments, etc.).

Table V-1 (continued)

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS |
|---|---|---|---|
| Elementary school and high school students (continued) | | | Pennsylvania Assessment of Creative Tendencies, from Pennsylvania Opinion and Interest Survey (2,4,5)<br>Stanford-Binet Intelligence Scale (1,2,3,4,5)<br>Wechsler Intelligence Scale for Children (1,3,4,5) |
| | | Ability to understand local newspaper | Pupil Survey (1,2,4,5) |
| | b. To improve social and behavioral development<br>1. Self-image and self-awareness<br>2. Ethnic pride<br>3. Emotional and social stability<br>4. Attitudes toward education and learning<br>5. Attitudes toward community and environment<br>6. Educational and occupational aspirations<br>7. Interpersonal relationships | Alienation (anomie) | Biographical Interest Questionnaire of Pennsylvania Pupil Questionnaire (1,2,4,5,6,7) |
| | | Delinquency and/or vandalism rates | Brown-IDS Self-Concept Referents Test (1,7) |
| | | Attitudes toward school system, including self-image, fate control, etc. | California Test of Personality (1,3,4,5,6,7)<br>Classroom Observation Rating Scale (1,3,4,6,7,8)<br>Gumpgookies (1,4,6,7,8)<br>Pennsylvania Pupil Questionnaire (1,2,3,4,5,6,7,8)<br>Pennsylvania Scale of Openness to Possibilities of Change in Our World, from Pennsylvania Opinion and Interest Survey (1,3,4,5,7,8) |

Table V-1 (continued)

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS |
|---|---|---|---|
| Elementary school and high school students (continued) | 8. Preparation for world of work | Percent students requesting transcripts for college application; percent admitted to post high school education; percent completing one year in post high school education.<br><br>Percent students planning to enter labor market full-time; percent employed full-time after 3 or 9 months; percent employed in low skill jobs. | Personal Record of School Experience (4,7,8)<br>Reading Attitude Inventory (4)<br>Social Schemata Test (1,2,4,7)<br>Pupil Records (3,6,8) |
| | c. To improve physical and mental health<br><br>1. Physical health<br>2. Nutrition<br>3. Mental health | Health defects corrected<br>Obtaining adequate daily diet | Children's Auditory Discrimination Inventory (1)<br>Health Behavior Inventory (1,2)<br>Keystone New York School Vision Test (1)<br>Massachusetts Hearing Test (1)<br>Neurological Evaluation (1,3)<br>Pennsylvania Pupil Questionnaire (1,2) |

Table V-1 (continued)

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS |
|---|---|---|---|
| Elementary school and high school students (continued) | d. To increase use of educational resources (e.g., library facilities) | Use of library facilities, including number and type of books and ratio of non-fiction to fiction books used | ESEA Title II Survey<br>School records |
| Teachers | a. To improve in-service training programs<br>1. Attitudes toward students and their educability<br>2. Conceptions of authority<br>3. Interpersonal relationships<br>4. Awareness of up-to-date materials and techniques<br>5. Classroom climate | Preferred (by teachers) and actual proportion of time spent on various duties<br>Conception of actual and preferred (by teachers) levels of authority in relation to students, other teachers, and administrators<br>Rates and nature of contact with students, teachers, and parents (e.g., teacher supportiveness) | Behavior Classification Checklist (1,2,3)<br>Child Attitudes Survey (1)<br>Dimensions of Teachers' Opinions (1,2,3)<br>Follow Through Teacher Survey (3,4,5)<br>Pennsylvania Teacher Questionnaire (1,2,3,4)<br>This I Believe Test (1,2,3)<br>Classroom Observation (3,4,5) |
| | b. To improve ability to interpret and diagnose student needs and levels of performance | | Principal survey<br>Teacher survey |

Table V-1 (continued)

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS |
|---|---|---|---|
| Parents | a. To provide environmental reinforcement to children's learning<br><br>1. Attitudes toward child development<br>2. Attitudes toward education and learning | Ratio of parent-initiated teacher conferences to total, and ratio of academic conferences to disciplinary conferences<br><br>Parental encouragement | Follow Through Parent Survey (1,2)<br>Follow Through Teacher Survey (1,2)<br><br>Biographical Interest Questionnaire of Pennsylvania Pupil Questionnaire (1,2)<br>Child's Report of Parental Behavior Inventory (1,2)<br>Fels Parent Behavior Rating Scale (1,2)<br>Follow Through Parent Survey (1,2)<br>Gilmore's Sentence Completion Test (1,2)<br>Maternal Behavior Research Instrument (1,2)<br>Parental Attitude and Behavior Inventory (1,2)<br>Parental Attitude Research Instrument (1,2)<br>Shoben Parent Attitude Survey (1,2)<br>Winterbottom Independence Training Inventory (1,2) |
| | b. To improve social and behavioral development<br><br>1. Emotional and social stability<br>2. Interpersonal relationships | Participation in and attitudes toward civic responsibilities and community involvement | Attitude Difference Related to Economic Status Scale (1,2)<br>Ecological, Economic, and Social Questionnaire (1,2) |

Table V-1 (continued)

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS |
|---|---|---|---|
| Title I schools and communities (b) | a. To overcome inequities in the distribution of educational resources | Resources allocated per student, including total salary dollars by Federal, State, and local sources (c)<br>Pupil: teacher or pupil: adult ratio by income level of student population and percent minority students | Annual Board of Education financial reports, including total taxable property at market value, dollars of school tax collections, current per pupil expenditures, etc. |
| | b. To increase the quantity of educational supplies and materials | Per pupil allowances for instructional materials | Annual Board of Education financial reports<br>Belmont System instruments |
| | c. To reduce or eliminate racial or social class segregation | Racial and ethnic composition of schools; classroom spatial integration along racial and social class lines | Office for Civil Rights Forms 101 and 102<br>Classroom observation<br>Sociometric studies |
| | d. To reduce dropout rates | Pupil dropout rates; teacher mobility and absentee rates | School Interest Inventory<br>Pupil survey<br>School records |

(b) The information needed to measure progress toward objectives 1-7 for Title I schools and communities should be collected on a regular basis, school by school, in at least a representative sample of all LEA's.

(c) Something between gross figures on pupil: teacher ratios and detailed expenditures per child seems to be required. The Division of Compensatory Education should examine the Belmont attribution manual (and efforts to improve it) to assess the adequacy of such gross estimating procedures.

Table V-1 (continued)

| TARGET GROUP | OBJECTIVE | SAMPLE OF TYPES OF INFORMATION NEEDED | APPROPRIATE RESEARCH INSTRUMENTS |
|---|---|---|---|
| Title I schools and communities (cont.) | e. To increase average daily attendance and reduce tardiness and truancy | Pupil attendance and tardiness rates; number of classes missed | School records |
| | f. To improve community attitudes toward learning | Public support for school budget, bonds, etc. | Follow Through Classroom Assistant Survey<br>Analysis of voting patterns<br>Parent survey |
| | g. To provide the impetus and create the climate for educational and institutional change | Changes in local institutions, including hiring policies, responsiveness to community needs, patterns of decision-making, etc. | Follow Through Classroom Assistant Survey<br>Pennsylvania Principal Questionnaire<br>Parent survey |



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C. Requirements for Further Instrument Development

Due to the state-of-the-art in educational evaluation, and the limitations in existing evaluation methodologies cited above, some cr ical requirements for more effective evaluation can be identified. Until these requirements are recognized and acted upon, there will be good reason to question the capacity that exists at each level of government to evaluate education programs (and to insure that money is well spent).

In the first place, and in spite of recent efforts at improving the quality of research instruments to be used to measure the extent of progress toward educational objectives, many salutary (and negative) effects of compensatory education programs are unrecorded because we still do not know or have not perfected ways to measure their presence. In addition, frequently used methods of evaluation may be highly inappropriate to the stated objectives of projects or programs in question. Most Title I evaluations continue to stress cognitive skills, while the projects give substantial emphasis to the affective domain (self-image, motivation, level of aspiration, etc.). Too much testing emphasis is placed on manipulative skills and not enough on the broader but equally vital questions of whether or not programs personalize education, improve teaching skills, or decrease the racial and social class isolation of children. The implications of this imbalance are clear:

> "The goals of compensatory or intervention programs have often been constrained by th availability of tests that might show progress rather than on a priori grounds. Since good I.Q. tests exist, we tend to take raises in I.Q. as the goal of a program. There is need for creative work in the measurement of personality and cognitive process." 11/

Instruments used in evaluating Title I and other federally aided compensatory education programs must be developed along lines suggested by the objectives identified in this paper. Attention must be given to affective measures, to measures of institutional change, and to measures assessing the broader goals of Title I. For all measures, there is the need to develop ways of assessment without creating a "testing atmosphere." And there is the necessity of producing reliable cost estimates of instruments developed along with figures on the validity and reliability of each instrument (perhaps for specific subgroups).

For organizational purposes, requirements for more effective evaluation can be outlined. While some of these requirements are appropriate at only one level of government, others apply with equal validity to the Federal, State, and local level:

11/ Minutes of the Evaluation Research Section of the Social Science Research Council, March 20-21, 1970.

1. Instrumentation

Instruments used in evaluating Title I and other federally aided compensatory education programs should include not only measures of child performance on tests of cognitive skills, but also, for example, affective measures and ways to measure changes in school hiring policies. In addition, there is a need for the development of measures of school attendance, dropout rates, and other "across projects" assessments as well as the more narrow "single project" approach. Of course, all assessments and interpretations must consider any population changes that have occurred.

2. Training for Evaluation

Technical assistance is needed at local and State levels to plan local projects, implement them, assess them, and disseminate findings. There is little appreciation of the interrelationships among these activities with respect to educational evaluation. More specifically, technical assistance is needed in narrowing objectives so that evaluation is meaningful, 12/ in identifying target areas and target populations, and in designing evaluation mechanisms that will be responsive to unusual circumstances--e.g., building a project with no knowledge of funding components, administering a project whose initiation does not coincide with the start of the school year, in some cases coping with substantial student turnover, developing projects on very short notice, etc.

At the present time, existing State and local expertise does not permit much more than descriptive analysis of data and some States and local school districts do not appear aware of the potential of more sophisticated kinds of evaluation. In other States, in spite of a very positive attitude toward educational evaluation, no expertise exists to translate this attitude into meaningful evaluation efforts.

In this connection, the AIR guide for preparing evaluation reports represents a significant step forward. 13/ Several members of SEA's have found this a useful document. They believe that LEA's which follow the guide will produce higher quality evaluation reports.

3. Agreement on Title I Priorities and Criteria for Evaluation

Most persons in the Office of Education, and most State and local persons as well, are unclear about what evidence they would require to know if Title I is working (beyond the obvious one of student reading scores). There is a need for the Office of Education and, in turn, the States and local districts to more clearly define and reach agreement on priorities for Title I and other federally aided programs of compensatory education.

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12/ One effort to address this need is underway at UCLA, where James Popham is directing the establishment of a data bank of behavioral objectives.

13/ American Institutes for Research, Preparing Evaluation Reports: A Guide for Authors, ERIC number OE-10065.

In addition, it is necessary to introduce procedures to prevent the process of successive summarization (local district to State, State to Office of Education) from confusing priorities and criteria, resulting in inadequate data for finding out what programs are working best. At the present time, the Information Officer in the Office of Education must depend on hearsay and fragmentary evidence to identify exemplary projects. 14/

4. Involvement with Parents and Community Groups

Technical assistance is needed so that local districts can translate research findings into meaningful data for parents. As school systems are pressed to become more responsive to their parent-constituents, and as parents demand even "semi-valid" evaluative data on their children and children's schools, evaluators will not be able to restrict their efforts to narrow or artificial frameworks. They will need to be able to take their evaluation results and techniques, however new, complex, or subtle they may be, and communicate them to the public.

Technical assistance also is needed on how parents, teachers, administrators, and students can work together to develop project goals at the local level and on how to train community residents for meaningful participation in parent advisory groups.

5. Resources

There is a wide variation in the proportion of Title I funds currently being used for local project evaluation. 15/ While most if not all of the recently developed evaluation models (Provus, Stufflebeam, Ianni, etc.), which emphasize collection of process data, require considerable expenditures in the area of evaluation, techniques for implementing process evaluation in an economically feasible way currently are not available.

D. Procedures and Mechanisms to Improve Evaluation

Efforts to improve the evaluation of Title I or other federally aided compensatory education programs (or the provision of technical assistance) must rely not only on Federal but also on State and ultimately local efforts. What is clear is that increasing pressures to show positive results for Title I, and the spectre of performance contracts requiring LEA's or their subcontractors to accomplish what they say they are going to accomplish in their proposals in a given time, will increase the need for stricter and better quality evaluation. The fact that many evaluation techniques are still in their experimental stages will be recognized, but will not reduce the need for hard data that show conclusively which innovative programs--and which of their specific components--are most effective.

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14/ Statement made at Office of Education and Institute for Services to Education Conference on Technical Assistance, April 27, 1970.

15/ The February 7, 1968, Minutes of the Directors of Instructional Research in Large Cities reports that most school districts represented at that meeting were spending less than 3 percent of Title I funds for evaluation. Many LEA's and local projects provide no money at all for evaluation.

With this in mind, the following guidelines are offered as suggestive of things that can be done now to improve educational evaluation, and the capacity for better evaluation:

1. The Office of Education should facilitate the accomplishment of the tasks enumerated above by reaching agreement on the kinds of evidence it would require to know if Title I is working well (beyond the obvious one of student reading scores). This will necessitate a careful sorting out of numerous objectives articulated in the Title I legislation, amendments, and proposals from LEA's.

Beyond this, the Office of Education should support the development of more sophisticated research instrumentation and evaluation to measure progress toward Title I goals. The Office of Education should play a major role in developing (or helping to develop) measures for assessing the progress of students in the Title I program besides standardized reading scores. 16/ Some notable efforts already are underway in this regard, which obviously would be strengthened by Federal (and State) support. 17/ For example, the Social Science Research Council has formed work groups to examine aspects (including research instrumentation) of evaluating the effects of compensatory education programs on motivation. Edgar Epps, chairman of one of these work groups, reports that, "We are agreed that it is essential to take the focus off the children and place it on the total educational setting. We need to look at teacher and community attitudes, classroom climate, and interaction patterns." Ronald Corwin of Ohio State University currently is working on the development of measures of change in organizational variables. He feels that, "The number one measurement priority is to adapt sociological type scales to educational settings."

Vernon Weckwerth of the University of Minnesota reports that Minnesota Systems Research, Inc. has developed and pretested an instrument to assess nutritional objectives (food intake in terms of eating patterns, nutritional knowledge and attitudes toward food, and biochemical knowledge and attitudes). And Sheppard Kellam has developed some social adaptational measures and family life indices to assess the impact of the Woodlawn Community Mental Health Program on first graders in Chicago, Illinois.

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16/ Unfortunately, many educators continue to give lip service to the notion that standardized tests are only one objective standard of measurement that may tell us whether or not pupils are making adequate gains in achievement. Both the design of many standardized tests and the ways in which their results are reported often render them inadequate as tools for assessing the overall value of educational programs.

17/ See Table V-1 and Appendix G for some of these efforts. The following citations are only a small sample of ongoing research.

Finally, Regional Laboratories and R and D Centers may be able to provide important insights into the problems of assessing educational progress. Of considerable use should be an upcoming Measurement Handbook to be published by the Far West Regional Educational Laboratory, and consisting of available but unusual instruments for measuring the outcomes of education efforts. 18/

2. The Office of Education should provide direction on the appropriate proportion of funds which should be allocated to local project evaluation and on the desirability of performing project and program monitoring and process evaluation.

Since definitive project evaluation is likely to be extremely expensive and time consuming, we recommend that the emphasis be placed instead on monitoring and related activities. Done on a sampling basis, monitoring could provide timely information on the strengths and weaknesses of local projects and could collect information on the experience of school districts with similar problems or projects. In this way, monitoring can be the point at which aspects of a project rating system, improved program reporting/needs assessment, and the results of local project evaluations are brought to bear on the improvement of local projects.

The Office of Education should give high priority to short-term, relatively inexpensive comparisons of project results with previously stated performance objectives or baseline conditions, 19/ and should attempt to induce greater comparability in statements of local Title I project objectives, in measurements of the degree to which project objectives are attained, and in descriptions of the populations served and of the contexts in which the projects operate.

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18/ Richard Watkins, Associate Laboratory Director for Programs, Far West Regional Laboratory, Berkeley, California, reports that the Measurement Handbook is in a draft stage, and is being considered as part of a total information system. It may be ready for publication by November 1970.

19/ A preliminary discussion of measures of educational outcome, phrased to refer to a possible school rating system but having more general applicability has been developed by Bayla F. White at the Urban Institute. See Bayla F. White, Design for a School Rating or Classification System, Urban Institute Working Paper 119-1, March 13, 1970. White's output measures are grouped into measures of basic skills development, effects of skill development, holding power, and attitudes. All of the output measures are within existing evaluation methodology.

3. Educators and researchers should stop behaving as if there is only one kind of evaluation (that which results in a program's continuation or phasing out), and should work to develop more appropriate strategies for ongoing evaluations--where the question of continuing the program is not at issue, but where the evaluative function is to identify the strengths and weaknesses of the elements in a program with a view towards improvement.

4. The Office of Education should support State efforts to work together, and State and local efforts to work together, on evaluation problems. The Office of Education and SEA's should offer financial incentives to LEA's willing to enter into cooperative arrangements with other LEA's to develop evaluation expertise. On an ongoing basis this would help school districts know what is going on within their State or region, and would help the Office of Education know what's going on nationally. One example of this exists in Arizona, where several school districts joined in 1967 to establish the EPIC (Evaluative Programs for Innovative Curriculum) Evaluation Center. Headquartered in Tucson, the Center has the dual task of assisting with the evaluation of educational programs and helping teachers learn enough about evaluation to measure the results of their own work in the future.

It also may be feasible for the Office of Education to support regional evaluation efforts (e.g., applying a uniform evaluation scheme to the teaching of reading in the New England area), and to encourage local school districts to relinquish some of their autonomy in spending Title I money in order to answer broader questions (e.g., which reading textbooks have been used most successfully?).

5. As David Iwamoto and Norman Hearn and others have noted, we can learn a great deal about evaluation methods from business, where sophisticated evaluation techniques have been utilized for some time. 20/ While SEA's and LEA's would need to modify these techniques, strategies such as the Program Planning and Budgeting System (PPBS), Quality Assurance and Evaluation, and the Program Evaluation and Review Technique can be made applicable to school needs. Part of the modification work already has been done by Preparing Educational Planners (PEP), a Title III ESEA project in Burlingame, California. PEP has prepared a series of booklets which explain how school superintendents can apply these and other systems analysis methods to educational problems, thus simplifying the process of gathering and organizing information.

The adoption of all these procedures and mechanisms at the Federal, State, and local levels will not, of course, guarantee success for education programs. However, their adoption would probably mean that successes and failures will be diagnosed earlier and more accurately, leading to improved program and project management. Program and project managers are more likely to achieve success when they have the option of taking corrective action during the course of a project.

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20/ David Iwamoto and Norman E. Hearn, "Evaluation is a Full-Time Job," in American Education, April 1969.

# VI. OVERVIEW OF TECHNICAL ASSISTANCE FOR COMPENSATORY EDUCATION PROGRAMS

This introductory chapter defines passive and active technical assistance, clarifies Title I technical assistance needs, and discusses the major mechanism for delivery of technical assistance. The chapter concludes that the technical assistance process should not be a rigid, one-way vertical effort from Federal to State to local levels, but should be one in which each level receives as well as gives help.

The next three chapters assess Federal, State, and local technical assistance activities designed to improve the education of disadvantaged children.

## A. Introduction

In announcing the creation of a Technical Assistance Team in January 1970, former Secretary Finch pointed out the need to improve the technical assistance provided by HEW to the agencies and institutions receiving HEW funds. He stated that "an inordinate amount of our present assistance effort is limited to such activities as interpretation of regulations and help in preparation of grant applications and reports. There is an increasingly urgent need to assist Governors, elected State and local officials and legislative leaders, as well as program operators, in the design and implementation of complex programs..." 1/

Technical assistance in HEW programs has generally meant "advice and technical consultation in the use of Federal resources." 2/ The HEW Technical Assistance Task Force developed the following working definition of technical assistance: "a process by which assistance primarily of a non-monetary nature is rendered to State and local governments or private agencies to assist the non-Federal partner to address mutually defined opportunities and needs." 3/

While it is clear that technical assistance should be non-monetary in nature, it is not at all clear that the Federal government can serve only as the provider and not the recipient of services. In this paper, we conclude that, with regard to the education of disadvantaged children, the technical assistance process should be continuous and interactive and that

1/ Internal HEW memo, January 9, 1970.
2/ Proposal for Systematic Technical Assistance in the Department of Health, Education, and Welfare, prepared by the Office of Field Coordination, January 9, 1970.
3/ Report of the Technical Assistance Task Force, May 6, 1970.

each participant should gain from the exchange. Therefore, the technical assistance process for education programs for the disadvantaged should not be a rigid, one-way, vertical effort (e.g. from the Federal to the State and/or local levels), but a process to provide help and guidance to meet needs at all levels in the management and operation of compensatory education programs or projects.

The Technical Assistance Task Force distinguished two types of technical assistance: (a) passive, technical assistance which is offered as the result of specific requests from clients; and (b) active, technical assistance which is initiated by the agency or individuals providing services to meet the perceived or identified needs of clients. 4/ To date, technical assistance related to education programs for the disadvantaged has been chiefly passive in nature, and specifically in the Title I program has been generally limited to the interpretation of guidelines.

This paper will focus not on the customary passive technical assistance, but primarily on active technical assistance which can be delivered in an efficient, comprehensive manner. Two assumptions underlie this focus: (a) that requests for help will continue to be made at State and/or local levels; and (b) that the Office of Education and State Departments of Education will be unable to deliver adequate services to all who request them. Therefore, although this report concentrates on Title I technical assistance, it attempts to describe activities which will utilize limited OE and State Educational Agency staff skills in the most efficient and effective manner.

B. Categories of Technical Assistance Related to the Title I Program

Title I technical assistance tasks have been grouped into four categories in this report: (1) assistance in the interpretation of legal requirements; (2) assistance in program planning and development; (3) assistance in the improvement of program/project operations; and (4) assistance in program/project evaluation. Taken together, these four types of assistance should cover every aspect of program operations. These four types were identified as a result of discussions with Federal, State and local education officials and a review of technical assistance materials currently in use.

1. Assistance in the Interpretation of Legal Requirements

Chiefly passive in nature, this type of technical assistance involves clarification of Federal regulations and guidelines on such issues as the designation of target populations, concentration of funds, participation of non-public school children, and community and parent involvement. In addition, local projects may request assistance in understanding State regulations and policies and may need specific help in submitting the required information in the project application process.

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4/ These are Urban Institute definitions and not those of the Task Force.

2. Assistance in Program Planning and Development

This type of technical assistance deals with problems which arise prior to the actual operation of a project, and may be either active or passive in nature. The following are examples of the type of technical assistance activities which would fall into this category: analysis of educational needs; assistance in establishing project objectives; assistance in comprehensive planning; development of work plans; and dissemination of successful program packages, new program ideas, or techniques.

3. Assistance in the Improvement of Program/Project Operations

This third type of technical assistance will probably be more active than passive in nature. This occurs because weaknesses in program/project operations can be most readily uncovered through systematic monitoring efforts. Technical assistance programs under this category might include training in improved management techniques, accounting or audit procedures, and the recruitment and training of staff.

4. Assistance in the Design and Use of Evaluation

Technical assistance in evaluation can be passive, if activities are related only to clarifying evaluation reporting requirements. It will be active if services are provided to help program and project directors gain a better understanding of evaluation design and improve data collection and analytical techniques. Activities under the category include assistance in improving all aspects of evaluation from conception to data analysis and to use of evaluation results.

C. Identification of Technical Assistance Needs

Technical assistance needs related to the improvement of management and operation of a program or project vary with the assignment of responsibilities and the staff skills available. Outside assistance is usually required because of staff inability to meet (1) requirements set by another level/branch of government; (2) demands made by an outside group; (3) internal goals set for a program or project.

Evaluation activities can be the keys to the identification of specific areas where technical assistance can aid a program or project. Monitoring, whether of a State Department of Education or of a project, can uncover many deficiencies in such areas of program/project administration as: the interpretation of regulations or requirements; planning, development, management, operation, evaluation, staff training and dissemination of information. Individual project evaluations can also serve the purpose of revealing management, operation and programmatic areas that need improvement.

Program strategy evaluations, when conducted, can identify technical assistance needs in program planning and development; similarly, project rating, at a minimum, can "red flag" projects that are not measuring up to others that have been similarly classified. Finally, annual evaluation reports, whether State reports submitted to the Office of Education or project evaluation reports sent to State Title I offices, can reveal weaknesses, either because of results cited or because of the absence of data or information about program/project management, operations, or results.

In addition to using evaluation to determine technical assistance needs, the Office of Education, State Departments of Education and Local Educational Agencies should conduct a "self-evaluation" to discover gaps or inadequacies in their programs or projects. If this were done on a continuous basis, or annually, at the time of the preparation of an evaluation report, then the agency or staff involved could identify its own technical assistance needs and request help from an outside source.

D. The Flow of Technical Assistance

As has been stated earlier, the process of providing technical assistance should be interactive and continuous. This does not mean, however, that the Federal government must always be the provider of technical assistance to States and through them to school districts. Every level of educational administration--the Office of Education, State Departments of Education, and school systems--can both offer and receive assistance in improving program operations, depending on the nature of the assistance provided. No one pattern is appropriate for the delivery of all types of technical assistance.

Since the enactment of Title I, the type of technical assistance offered has been primarily passive in nature, flowing from the Office of Education down through the States to school districts in response to requests for clarification about how Title I funds may be used. Too little attention has been devoted to providing assistance in improving program planning, operations or evaluation.

The following discussion takes each of the four categories of technical assistance activities identified and considers which levels of the education structure should be the provider of the assistance and which, the recipient.

1. Assistance in the Interpretation of Legal Requirements

It can be assumed that the level establishing requirements should assume responsibility for interpreting them. Therefore, OE should continue to disseminate information on Federal regulations to State Departments of Education who, in turn, should inform districts receiving project grants of the Federal as well as the State regulations.

2. Assistance in Program Planning and Development

Technical assistance activities in this category should be offered by whichever educational unit has the expertise to whichever unit has need for that expertise. Two major types of assistance can be provided: (a) substantive assistance in the design and implementation of new programs or techniques or (b) dissemination of information on "what works." Because of staff limitations at all levels of educational administration, it is essential to identify and use talent and materials already developed. To reduce duplication of effort and to gain maximum benefit from existing skills, cooperative arrangements should be encouraged among States and LEA's. Assistance could be rendered through all of the possible arrangements: OE to SEA's; OE to LEA's; SEA's to other SEA's; SEA's to LEA's; SEA's to OE; LEA's to other LEA's; LEA's to SEA's; LEA's to OE. In addition, the Office of Education, State Departments of Education, and Local Educational Agencies may find universities, research organizations, and other contractors helpful in providing assistance in program planning and development.

3. Assistance in the Improvement of Program/Project Operations

Since weaknesses in program/project operations are most likely to be uncovered through monitoring activities and since the burden of monitoring falls most heavily on the SEA's, assistance provided in this category will most likely originate with SEA's. The Office of Education should provide assistance to SEA's to improve their own monitoring operations. OE may also develop materials on various aspects of project operations which can be disseminated through States to LEA's or directly to districts, when the SEA fails to provide needed assistance. Large school systems may have developed techniques or materials relating to project operations which could be shared with other LEA's or with the SEA and through it with other local districts.

4. Assistance in the Design and Use of Evaluation

Since the ultimate purpose of compensatory programs is to improve the results of education for disadvantaged children, technical assistance in the area of evaluation should be directed toward the local level. States must assume primary responsibility for helping LEA's to improve evaluation design, to develop more efficient means of data collection, to interpret and apply evaluation results. SEA's can also be of assistance in helping LEA's fulfill Office of Education evaluation requirements. For its part, OE can clarify annual reporting requirements for SEA's, can design and disseminate evaluation models useful to both SEA's and LEA's, can fund studies for LEA use and/or support training programs for LEA's (as in the Belmont effort). If LEA's have developed useful evaluation studies (either in-house or through contracts), then they can be used as sources for technical assistance to other districts, to State Departments of Education, and to the Office of Education.

E. Mechanisms for the Delivery of Technical Assistance

A variety of methods can be used to delivery technical assistance services. Some are appropriate to all categories of technical assistance; others, to a single category. Some mechanisms are appropriate to all levels of educational administration, while others may be best suited for only one level. The following list of technical assistance mechanisms is not exhaustive; it merely represents some of the methods presently being used.

1. Normal communications processes

Telephone calls and memoranda are probably the most widely used forms of technical assistance at the Federal, State and local levels. Both mechanisms can be effective in clarifying simple issues (e.g. some regulations and guidelines, answering questions concerning project applications and evaluation reporting requirements) and in transmitting information about new requirements, directions or emphases in programs.

2. Monitoring

In addition to being a type of evaluation, monitoring activities afford a good opportunity to transmit assistance on many aspects of program/project operations. Such assistance can be delivered either while the monitor is on-site or as a follow-up to the visit (through a written report, memorandum or telephone call). State Management Reviews and Title I Program Reviews provide opportunities for Federal staff to render technical assistance to SEA's; SEA visits to projects allow State staffs to offer help to local districts.

3. Pamphlets and Brochures

Pamphlets and brochures can be used to disseminate information which has general applicability or relevance. Pamphlets have been used to describe program models, to illustrate management techniques, to convey information about project operations. Discretion must be used in choosing materials to be disseminated. In most cases, distribution of brochures and pamphlets should be linked to other forms of technical assistance, since the application of the advice being offered will often require more than the written word.

4. Newsletters

Many State Departments of Education have found Title I newsletters to be useful tools in promoting the exchange of information among LEA's. Newsletters should contain descriptive material about successful programs or techniques, events or deadlines related to the programs involved, book reviews or digests of new materials, suggested bibliographies, and information on how and where to obtain assistance to overcome common project weaknesses.

5. Manuals

Manuals are more sophisticated, less descriptive versions of pamphlets and brochures. They provide a more detailed and often step-by-step exploration of a subject. Manuals are appropriate when a specific procedure needs to be developed and/or applied uniformly throughout a State or to all projects. Manuals can be used in the project application process, to describe instructional or management techniques, to explain evaluation instruments or designs, to promote uniformity in reporting program and project results.

6. Conferences

Conferences are especially useful for transmitting information to a large audience at a single session. Conferences have been used to deal with changes in regulations, to explain reporting procedures, to discuss new ideas or common problems. If conferences are held regionally (in the U.S. or within a State), travel costs may be reduced and may enhance the chances of greater local participation. In order to maximize the benefits of a conference, specific topics for discussion should be chosen, objectives should be set, good speakers of national or regional prominence should be selected, States (or, if appropriate, LEA's) should be involved in the planning and a report on the proceedings prepared for distribution. A side-benefit of using a regional approach to conferences may be the development of regional technical assistance networks for SEA staffs or the encouragement of cooperative arrangements among LEA's within a geographic region.

7. Workshops and Training Programs

Workshops and training programs are useful mechanisms for developing staff competency in program planning and development, program operations and in evaluation design, techniques, use and reporting. Workshops and training programs afford an opportunity for participants to exchange ideas and experiences, usually in a small group setting. Consultants may be called upon to assist in organizing and conducting workshops and training sessions.

8. Consortia

Consortia provide mechanisms for OE, SEA's, and/or LEA's to share expertise on an on-going basis. The Belmont system, for example, is a cooperative arrangement between OE and 27 SEA's to improve data collection and use. The New England States have cooperated from time-to-time in the sharing of information. LEA's which share common problems might pool their efforts in a consortium [as was done in Arizona with the formation of EPIC (Evaluative Programs for Innovative Curriculum)]. Specifically, large school districts might use this mechanism to offer assistance to their smaller neighbors.

9. Clearinghouse or other methods of dissemination

Both the Office of Education and SEA's need to develop methods of supplying information on request to clients, e.g. lists of consultants or contractors, copies of evaluation studies, program models and techniques. It is possible that ERIC can be used to perform this service or that the "Information Research Centers," now in pilot form in three States will be expanded for use in all States if they prove successful (see Chapter VII).

# VII. FEDERAL TECHNICAL ASSISTANCE: PAST, PRESENT, AND FUTURE

This chapter discusses types of technical assistance appropriate for the Office of Education, reviews past and present OE technical assistance related to education of disadvantaged children, and recommends actions the Office of Education (in particular, the Division of Compensatory Education) should take to improve such technical assistance to State and Local Educational Agencies.

## A. Technical Assistance for Education Programs for the Disadvantaged: the Federal Role

The advice and consultation offered by the Office of Education historically have reflected the nature of the program and the staff expertise available. Before the categorical grant programs, the Office of Education used "subject matter specialists" to provide consultative services in program development and to collect and disseminate data. 1/ With the introduction of categorical grant programs in 1958 (NDEA), OE began to recruit staff with administrative experience to manage the large grant programs. The technical assistance provided by OE consisted chiefly of the interpretation of guidelines and assistance in the preparation of project applications.

Now, in 1970, the Division of Compensatory Education is in the process of adopting a new organizational structure, 2/ which will complete the staffing cycle. With the creation of the Program Support Branch, the OE staff will again have specialists providing technical assistance in special program areas. The Division of Compensatory Education has two branches concerned with the Title I program: the Program Support Branch and the Program Operations Branch. The recommended technical assistance responsibilities of these branches and of other OE units are dealt with in subsequent sections of this chapter.

### 1. Categories of Technical Assistance Most Appropriate to Federal Technical Assistance Efforts

Federal technical assistance efforts should aim at improving all aspects of Title I program management and operations. Even though technical assistance services could be offered under each category identified

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1/ Interview with Mrs. Genevieve Dane, Director, Operations Branch, Division of Compensatory Education, USOE.

2/ See the report prepared by Macro Systems for the Title I Task Force entitled "Function and Operational Guide, Division of Compensatory Education, Office of Education," May 22, 1970.

in this report, OE has neither the staff nor the resources to meet all needs at the State and local levels. Consequently, priorities must be established among the possible technical assistance activities.

a. Assistance in the interpretation of legal requirements. Most of the contacts that SEA and LEA Title I staffs have had in the past with the Division of Compensatory Education have related to the interpretation of guidelines and to questions concerning project applications. This resulted primarily from lack of specificity in the Title I regulations and guidelines. Participants at the Office of Education-Institute for Services to Education conference 3/ indicated that they need further clarification of Federal guidelines concerning: concentration of funds, non-public school student participation, designation of target populations, and citizen and parent participation. Even if these issues are described in more detail through program guides, memoranda, or manuals, it can be assumed that other issues will arise due to the changing nature of the Title I program. The Title I legislation has broadly stated objectives and an administrative structure which gives States and local school systems considerable power to shape the program.

If DCE would make a greater effort to anticipate questions about Title I legal requirements, the amount of staff time spent responding to individual questions would decrease. That is, if DCE were to clarify some of the Title I requirements by issuing clearly worded, concise directives, fewer requests for clarification would probably be received. These directives might also offer acceptable alternative approaches which local school districts could use. If OE goes a step further and sets up a comprehensive system to enforce the legal requirements, then it is possible that other units within OE/HEW would have to spend more staff time on compliance problems. Therefore, strengthening legal requirements may reduce demands on DCE staff time, but could result in increased demands on total OE/HEW staff time.

b. Assistance in program planning and development. The Program Support Branch (PSB) will bear primary responsibility for providing technical assistance relating to program planning and development. The PSB could prepare materials and conduct or participate in or organize training sessions for State (and local) personnel on such subjects as (1) the development of measurable and relevant performance objectives; (2) methods or techniques for implementing "program packages" identified as promising or successful; and (3) methods to achieve increased parent/community/student involvement in program development. The PSB might develop lists of potential sources of specific technical assistance services which are available for State and local use or purchase. These lists might include university groups or personnel, subject-matter consultants, private research organizations, Regional Education Laboratories, Research and Development Centers, Educational Research Information (ERIC) Centers, and State and Local Educational Agency personnel. In addition to providing these forms of active technical assistance, PSB staff must continue to respond to requests for assistance from State and local personnel.

3/ Conference held in Washington, D. C., on April 27, 1970. Participants included Federal, State, and local Title I officials.

c. Assistance in program/project operations. Even though the Office of Education has experienced difficulties in administering their own programs, staff capabilities should be developed in the Operations Branch (OB) to be able to assess and assist SEA program operations during the Title I Program Reviews. With the cooperation of the Division of State Agency Cooperation, the OB should develop manuals in management techniques for both SEA and LEA Title I staff use. Regional training programs (as follow-ups to the manuals) could be conducted for State and possibly some local staffs.

d. Assistance in program/project evaluation. At a minimum, the Bureau of Elementary and Secondary Education should assume responsibility for clarifying Federal evaluation reporting requirements. In addition, BESE should offer active technical assistance to bolster the State role in helping school districts in the collection and use of data, in design and use of evaluation studies, and in assessment of the effects of evaluation studies on the direction of projects.

To carry out this responsibility, BESE should prepare evaluation manuals for LEA use in designing, carrying out, and using evaluations. Instructions which should be included are: development of output measures which are consistent with the activities and/or components of a program, statement of operational and management processes which are designed to achieve the project objectives, use of appropriate measurement techniques and instruments, and development of techniques for data collection and analysis. Preparing Evaluation Reports: A Guide for Authors, a manual prepared as part of the Belmont effort, would be the logical starting point for such a BESE manual.

2. Constraints on Federal Technical Assistance Efforts

The major factors impeding the delivery of Federal technical assistance are closely interrelated. In order of significance, they are:

a. Lack of clearly defined objectives and priorities for OE technical assistance. OE has yet to determine whether its role is merely to help SEA's improve the management of their programs or whether it should also assume a measure of responsibility in directing LEA's to improve their projects.

Because the Title I program is chiefly controlled by States and local school districts and because State and local educators resist interference from the Federal government, it could be difficult for the Office of Education to receive unqualified support for delivery of technical assistance directly to LEA's (or, for that matter, even to SEA's). In particular, OE could receive strong opposition from State Department staffs if the Office of Education attempts to provide services directly to local districts.

Until a decision is made (in relation to the Title I program) whether DCE should consider SEA's their sole or main clients or should instead work directly with some Local Educational Agencies, the Federal role in the delivery of technical assistance cannot be defined in relation to the types of technical assistance offered, the resources needed, etc.

b. Lack of information concerning technical assistance needs at the State and local levels. Because most of the technical assistance offered in the past by DCE to SEA's and LEA's has been passive, the only way of presently assessing State and local technical assistance needs is to make an assessment based on the requests which DCE has received. It is possible that these requests have little relationship to the major definciencies of a program or project--either because the problem areas have not been identified or because SEA and LEA staffs would not expect OE to be able to provide services which they need. OE must develop ways of determining whether requests received adequately represent the needs of SEA's and LEA's; or, if not, OE should develop mechanisms to discover what major technical assistance needs exist.

c. Lack of funds. No funds have been specifically earmarked for the delivery of Federal technical assistance for the Title I program. If, in the future, the Office of Education intends to delivery comprehensive technical assistance for all its elementary and secondary education programs, or if the Program Support Branch plans to develop program models for SEA and LEA use, then considerable funds will have to be earmarked to support these efforts. In the interim, both the Operations Branch and the Program Support Branch will need extensive travel money to deliver technical assistance in the Title I program. Also, the DCE Information Office will need funds to disseminate materials to SEA's and LEA's.

d. Lack of staff expertise. Because the Division of Compensatory Education has been heavily involved in interpreting legislation, staff members have not been recruited to offer sophisticated technical assistance in the development, operation, and evaluation of Title I programs or projects. If existing staff members are directed to identify needs at the State and local levels and to determine the best approaches to meet these needs (either directly or indirectly), and if money is made available, then DCE could seek out staff with skills needed to meet such technical assistance goals.

e. Lack of methods of evaluating present technical assistance efforts. Even if there were no staffing and funding constraints, DCE staff presently would not be able to recommend with certainty the best ways of assisting State Departments and/or local projects in improving their programs or projects. No attempts have been made to date to assess technical assistance delivery mechanisms or efforts. Specifically, the It Works series (a present technical assistance effort of the Division of Compensatory Education) has not been evaluated to determine its present use and value to Title I programs and projects.

3. Appropriate Delivery Mechanisms for Federal Technical Assistance

a. Interpretation of legal requirements. The present Program Guides should continue to be used as the initial way of informing SEA's either of the intent of the legislation or of possible procedures for assessing the outcome in the program or a project. It is suggested, however, that a concerted attempt be made to consult with representatives from SEA's or LEA's on proposed Guides to ensure clarity and applicability. Regional conferences can also be effective in instructing LEA staffs in application of guidelines, e.g., application of new guidelines on writing behavioral objectives. Program Review teams should deliver technical assistance to SEA Title I staffs if they uncover problem areas in their site visits. And, of course, telephone calls can and probably do serve as the best mechanism for passive technical assistance to SEA's in interpretation of legal requirements.

b. Program planning and development. To meet the numerous needs at the State and local levels, the Program Support Branch should concentrate its efforts initially on disseminating information on "what works." This does not mean merely selecting a random sample of approaches to different types of programs, but a promotion of tested methods or promising techniques which can be adopted to meet specific needs of individual projects. It is suggested that PSB include a "how to" approach with every program package or at least a minimum checklist of conditions or requirements to implement the suggested or recommended technique.

It would, of course, be impossible for the Program Support Branch to serve directly all 16,000 Title I projects. It would be feasible, on the other hand, for the PSB to assist a limited number of LEA's which State Department staffs have identified as having critical problems, or to work with a group of LEA's in initiating a cooperative effort for development of programmatic areas. In addition, OE can sponsor conferences and training programs on early childhood, reading and bilingual programs, for example.

c. Program/project operations. The Operations Branch should offer assistance to SEA's during the OE Title I Program Reviews. As mentioned above, a manual could be developed for SEA's and projects and could be introduced through regional conferences to explain how management techniques can be implemented. In any case, OE could develop lists of individuals, firms, SEA's or LEA's who can assist in the development of systems to improve the operations of a program or project.

d. Evaluation. In relation to reporting requirements, the Bureau of Elementary and Secondary Education should use Program Guides, Program Reviews, and telephone calls to convey information about Federal evaluation regulations. BESE should develop evaluation manuals, disseminate samples of well-designed evaluation studies and samples of successful project evaluations, and lists of contractors who can be used in the design of evaluation studies. The Program Support Branch should publicize evaluation information, materials, and services available through ERIC Centers, Regional Labs, and R&D Centers.

B. Past and Present Federal Technical Assistance Related to Education Programs for Disadvantaged

A number of Federal programs have developed technical assistance approaches which could provide insights into goals, resources, mechanisms, and strategies for use in the Title I program. The purpose of this discussion is not only to highlight approaches which might be transferable to Title I but also to indicate that possible benefits could result from increased cooperation among OE program offices.

1. Head Start

Technical assistance in the Head Start program is based on a person-to-person approach, not on the delivery of educational hardware or materials. The assistance provided is usually in programmatic areas, not in the operation or management of projects.

Each Head Start project is allowed to budget up to 10 man-days per year for technical assistance. VOLT Information Sciences, Inc. has persons under contract on a standby basis to diagnose technical assistance needed in projects.

Regional training officers located in universities are used to recommend individuals for a technical assistance talent pool. Two weaknesses, however, have been identified in the Head Start-VOLT approach: there is no system to evaluate the technical assistance offered; and no alternatives exist to contract for services other than those provided by VOLT.

The Head Start-VOLT method of delivering technical assistance is not now appropriate to the Title I program, however, because of the number of Title I projects and because no money is available to keep such a consulting firm or group of consulting firms in operation when their services are not being purchased by local school systems.

2. Follow Through

The major providers of technical assistance to Follow Through projects are the university sponsors of the various Follow Through program models. In addition, small grants (approximately $4,000) are available to States to provide (or receive) technical assistance in the following ways:

> "-- to enable State Educational Agency staff to become knowledgeable about Follow Through objectives, program features, especially the parent participation and comprehensive services aspects, as well as the particular program or 'model' approaches.
>
> "-- To enable SEA personnel to become more familiar with implementation of current Follow Through designs, through visits to local projects in their own and nearby States.

"-- To assist local projects in identifying and making maximum use of available resources (local, State, university, etc.) which can contribute to the development of comprehensive projects.

"-- To assist local projects in developing improved school-community relationships.

"-- To identify and disseminate information about innovative practices in Follow Through projects which might be adopted by other Follow Through projects or by communities with Title I or other funds. [Emphasis added.]

"-- To assist or encourage the interrelation of local Follow Through projects with other efforts at the same or related age levels (Title I, Parent and Child Centers, Day Care, Head Start, etc.) and to encourage greater communication and coordination between preschool and early elementary school program personnel. [Emphasis added.]

"-- To aid local projects in resolving problems, if any, which may arise from apparent differences between Follow Through project design and usual State requirements (e.g., use of paraprofessionals, class size, etc.).

"-- To provide leadership to local communities in developing fuller and more responsible involvement of aides in Follow Through programs and in developing career ladder programs permitting advancement.

"-- To encourage the creation and development of more programs in institutions of higher education for the training of individuals in early childhood education and development." 4/

3. Career Opportunities Program

The Career Opportunities Program (COP) is designed to train individuals who want to develop a career in educating the disadvantaged. COP trainees are usually placed in schools designated for Title I projects. Besides granting funds to SEA's to assist LEA's in the development and implementation of COP, OE has provided a pool of resource persons selected from all parts of the country to provide technical assistance to local projects. This Leadership Training Institute serves the following technical assistance functions:

4/ Follow Through Memorandum #37, December 12, 1969.

a. "To train COP project directors in the design, conduct, and evaluation of projects.

b. "To assemble outstanding national resource personnel to provide technical assistance to COP projects.

c. "To sponsor training sessions for COP project directors--at least one prior to beginning of fiscal year 1970 projects and one near the termination of projects.

d. "To provide for progressive evaluation of COP projects through site-visiting teams composed of Office of Education personnel, Leadership Training Institute members, State Department of Education personnel, public school personnel, members of the indigenous target population, veterans, and other related personnel.

e. "To encourage, assist, and facilitate constant growth toward proposed objectives in each funded project through on-site feedback sessions with all project personnel.

f. "To provide the Office of Education with recommendations for improving the Career Opportunities Program in subsequent years." 5/

4. State Management Reviews, Division of State Agency Cooperation

State Management Reviews 6/ were organized in FY 1969 by the Bureau of Elementary and Secondary Education to review the management of Federal programs administered by BESE. Their purpose was:

a. To ascertain SEA educational goals and objectives;

b. To assess the status of Federal program management in SEA's and identify problems being encountered;

c. To assist SEA's in examining alternative approaches for improving their managerial techniques, processes, and services;

d. To promote improved coordination of programs, whatever their source, to effect maximum impact on educational problems;

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5/ Education Professions Development Act, Career Opportunities Program, Project Director's Handbook, Washington: U. S. Department of Health, Education, and Welfare, March 1970.

6/ See Chapter II.

e. To provide OE with a better understanding of the functions, structure, and operations of State Educational Agencies.

The SMR's concentrate on seven management functions:

a. planning;

b. project administration;

c. evaluation;

d. dissemination of information;

e. personnel management;

f. financial management;

g. management information systems. 7/

5. The National Center for Education Communications

The National Center for Education Communications (formerly the Office of Information Dissemination) has just undertaken a "Pilot State Dissemination Program" to promote "a human approach to information services for educators." Oregon, South Carolina, and Utah will participate in a two-year, $100,000 a year program which will begin in September 1970. Each State will develop its own "information resources center" under the direction of a Program Director, who will also supervise a small staff trained in information retrieval. The center will have a complete ERIC collection, reference materials, indexes to current materials, and will be the depository of all USOE dissemination materials. It also will collect and disseminate lists of qualified consultants and specialists in every field of education.

The key man in the enterprise will be the local field agent, a kind of USOE counterpart to the Agricultural Extension Agent, who will actually live in the target school area and provide technical assistance and information services on a day-to-day basis. Each Program Director will hire his own field agents, only two or three per State in the pilot program, who will be expected to help local schools analyze and diagnose their problems; supply appropriate information and resources for developing solutions; and advise on how to put the solution into practice and how to evaluate its success or failure.

"The University of Missouri has contracted to provide training for personnel involved in the three projects, and Columbia University will conduct the evaluation. Assuming successful completion of the second year effort by the three State agencies, USOE will consider funding half the

7/ State Management Review Procedures (OE publication).

cost of a third year. Thereafter, the States will be expected to assume financial responsibility for continuing dissemination practices which have proven successful, and USOE will have some idea of just how valuable the field agent may be in promoting educational improvement." 8/

6. Bilingual Education

Each Title VII project is given $10,000 to contract for technical assistance. The money is usually spent on teacher training, evaluation design, and a variety of workshops and institutes. The Local Educational Agency has the responsibility for assuring that its technical assistance is furnished by reputable persons, accountable to the project and to the Federal government. Evidence of expertise in areas specified in the proposal are required along with resumes of the background and experience of personnel assigned to perform a specific task. The availability of the personnel and evidence of their permanence with the organization must be indicated to document that certain jobs are likely to be successfully completed.

Also, the Educational Program Auditor, besides looking for discrepancies between the evaluation design and the actual evaluation, provides feedback to the Program Director on how to improve his program. (This technique is also used in the Title VIII Dropout Prevention program.)

C. Existing Resources for Federal Technical Assistance Efforts

At the present time, the little technical assistance that is being offered by OE in the Title I program is limited to that which is provided by the Division of Compensatory Education. DCE staff offer technical assistance in the interpretation of guidelines in addition to their other staff responsibilities. The Information Office in DCE disseminates some publications, e.g., the It Works series, 9/ Profiles in Quality Education, Improving Education through ESEA.

Until last year, little money was available for DCE travel; therefore, what little assistance was given was limited to telephone calls and publication of Program Guides. No funds have been earmarked for delivery of technical assistance; however, it can be assumed that S&E funds could be used when the DCE technical assistance role is expanded.

D. The Assignment of Organizational Responsibilities for Federal Technical Assistance

Based on the assumptions made earlier in this paper on the staffing constraints and the interactive nature of technical assistance, many of the technical assistance responsibilities should be shared by various units in DCE (see Table VII-1). Also, because of expertise that exists elsewhere in the Office of Education, we suggest the creation of an information

8/ Education Daily, July 14, 1970.
9/ Jeanne Parks, Information Officer, DCE, indicated that the reason the It Works series was not circulated more widely was because of lack of funds. (Internal OE memo, May 18, 1970.)

TABLE VII-1

Assignment of Organizational Responsibilities for Federal Title I Technical Assistance

| | OPERATIONS BRANCH | PROGRAM SUPPORT BRANCH | INFORMATION OFFICE, DCE | BELMONT STAFF |
|---|---|---|---|---|
| Staff Requirements | Twenty professionals assigned to five area desks (two HEW regions per desk).<br><br>Desk chiefs should have background in Title I and training in management and systems analysis. Generalists need background in education, preferably in compensatory education. | Minimum of 30 professionals. Specialists should be recruited to meet needs, such as evaluation, reading, early childhood education, bilingual education, citizen and parent participation, dissemination, neglected and delinquent children. | Training in information systems, dissemination techniques, writing and editing skills. | Background in research design and evaluation. |
| Clients | State Departments of Education | Primarily State Departments of Education; Title I projects as recipients of materials and possibly also as participants in cooperative arrangements for pilot projects sponsored by PSB. | State Departments of Education and Title I projects. | OE and SEA's. |
| Linkages with other units in HEW | Division of State Agency Cooperation, HEW Audit Agency, Bureau of Education Professions Development. | Title III, Follow Through, Title VII, Title VIII, Head Start, National Center for Educational Research and Development, Office of Nutritional Services. | Program Support Branch, Program Operations Branch, Title III, Follow Through, Head Start, Title VII, Title VIII, National Center for Education Communication. | Office of the Secretary, BESE, Bureau of Handicapped, Bureau of Adult, Vocational and Technical Education. |
| Technical Assistance Tasks | Interpretation of guidelines.<br><br>Assistance in granting process, e.g., in sub-county allocations.<br><br>Program Reviews (as methods of delivering technical assistance).<br><br>Instruction in management techniques (including the development of SEA monitoring systems).<br><br>Refer programmatic problems to PSB. | Assistance in planning and development of programs.<br><br>Participation in Program Reviews (if staff time available).<br><br>Assistance in design and use of evaluation. | Dissemination of materials on "what works," available literature, manuals, etc. | Assistance in defining evaluation requirements.<br><br>Assistance in evaluation (e.g., Project Descriptor effort). |

network for compensatory education program offices through the use of standing OE committees on technical assistance and dissemination.

1. Implementation of a Federal Technical Assistance Network for the Title I Program

One of the first issues which must be faced in the delivery of technical assistance is the location of the staffs who will be providing services in the Title I program. If we assume that the Belmont staff and the Information Office staff should remain in the national office to be able to coordinate services within HEW and the Office of Education, then decisions must be made concerning the most effective way of using the limited staff resources in the Program Operations Branch and the Program Support Branch. Here are some alternatives:

a. Program Operations Branch centrally located in the national office with S&E money earmarked for travel in the Program Reviews. Because Title I allocations are based on a formula and the States, rather than OE staff members review and approve Title I project applications, there may be less reason to regionalize the DCE Operations Branch than to regionalize other OE staffs. In addition, the following factors support the centralization of the OB staff: (1) staff limitations, (2) the limited number of contacts needed to carry out its technical assistance responsibilities. Whether interpreting guidelines or offering help in management areas, technical assistance can be offered either on a "one-shot basis" or with little on-site follow-up, e.g., during Program Reviews or through regional conferences, manuals, memos, or telephone conversations. No pressing need exists for having the OB in close proximity to SEA's and LEA's.

Also, OE should "speak with one voice" in interpreting Federal regulations. This can be more easily accomplished if the staff is located in the national office. With 50 States already making many decisions concerning program directions, regionalizing the Operations Branch could result in the creation of another layer of decision-making for the Title I program and lack of uniformity in interpretation of Federal regulations.

b. Program Support Branch centrally located in the national office with substantial funds earmarked for travel. The most obvious reasons for the Program Support Branch to be in Washington would be that it would be able to function with a smaller staff than if it is regionalized; and that a wider variety of specialists could be recruited to service the Title I program. In addition, it can be assumed that more effort could be spent on developing and identifying models if the PSB staff is not expected to work closely with its clients in the design and implementation of program models or techniques.

c. Operations Branch located in HEW regional offices. Because the OB staff will be assigned to five area desks, it can be assumed that each area desk will serve two regions. The only reason that regionalizing the Operations Branch could improve the delivery of technical assistance is that the OB staff could be used to identify technical assistance needs

which can be served by the Program Support Branch (as suggested in the Macro Systems report dated May 22, 1970). Because the Operations Branch need not recruit individuals with special programmatic and evaluative skills (as should the Program Support Branch), the OB staff may not have the expertise to identify technical assistance needs which can be met by the Program Support Branch.

d. Program Support Branch regionalized. If there were no staffing constraints, there would be every reason to consider regionalization the best approach for the Program Support Branch to deliver technical assistance. Some of the compelling reasons to locate this branch in the field are:

(1) The basic premise which must be considered in the delivery of technical assistance in the areas of program development and design and use of evaluation is that it is impossible to serve all potential Title I clients (i.e., 16,000 school districts). It is still advantageous, however, to have the Program Support Branch located as close to its clients as possible to be able to identify the range of technical assistance needs of SEA's and, through SEA's, needs of Title I projects.

(2) PSB should have close and frequent contact with SEA's not only in designing programs but also in implementing them. (The same can be said for technical assistance in evaluation.) This could eliminate the problem of developing models which cannot be adapted to meet individualized needs.

(3) Many times follow-up is needed; this can be done more easily if the staff is geographically located close to the client.

2. Conclusion Concerning Regionalization of Division of Compensatory Education Branches

Based on the above observations, it is suggested that both DCE branches remain centralized for the present time. However, the Program Support Branch, after it identifies its clients and the scope of its tasks (and if it receives enough staff slots to adequately meet its clients' needs), could be more effective if regionalized. The Operations Branch should remain centralized in the national office for the reasons cited above.

3. Model for Technical Assistance Network for Title I

The Division of Compensatory Education should consider using internal HEW staffs in the delivery of technical assistance to State Departments of Education and to Title I projects. The following four tables identify sources of information that DCE should use in delivery of technical assistance (indicated by "linkages"). Included in the tables are sources and techniques of delivery that OE can encourage States and Local Educational Agencies to use to improve their programs and projects.

TABLE VII-2

Technical Assistance Network for Interpretation of Federal and State Regulations, Guidelines, and Policies Related to the Title I Program

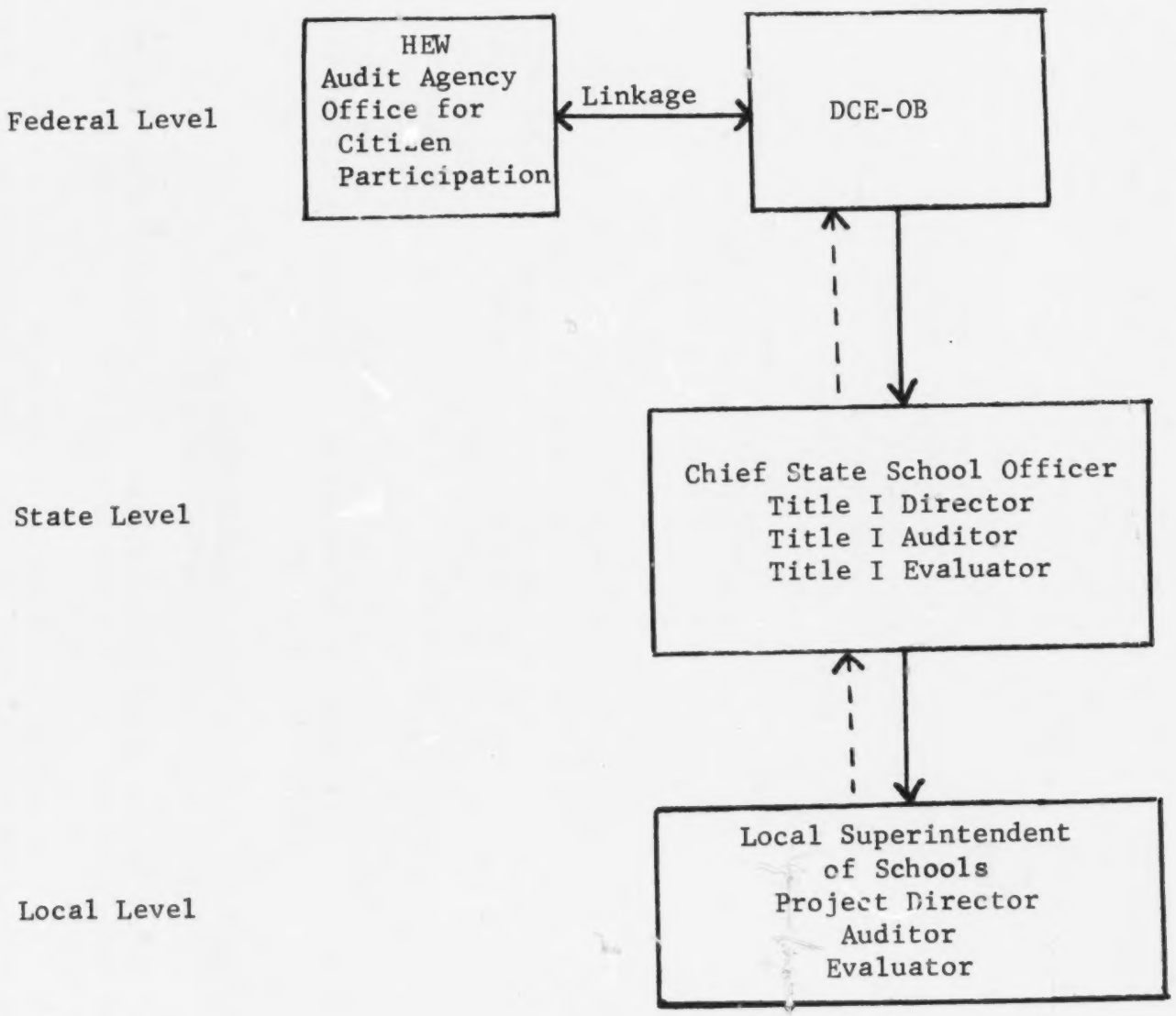


TABLE VII-3

Technical Assistance Network for Title I Program Planning and Development

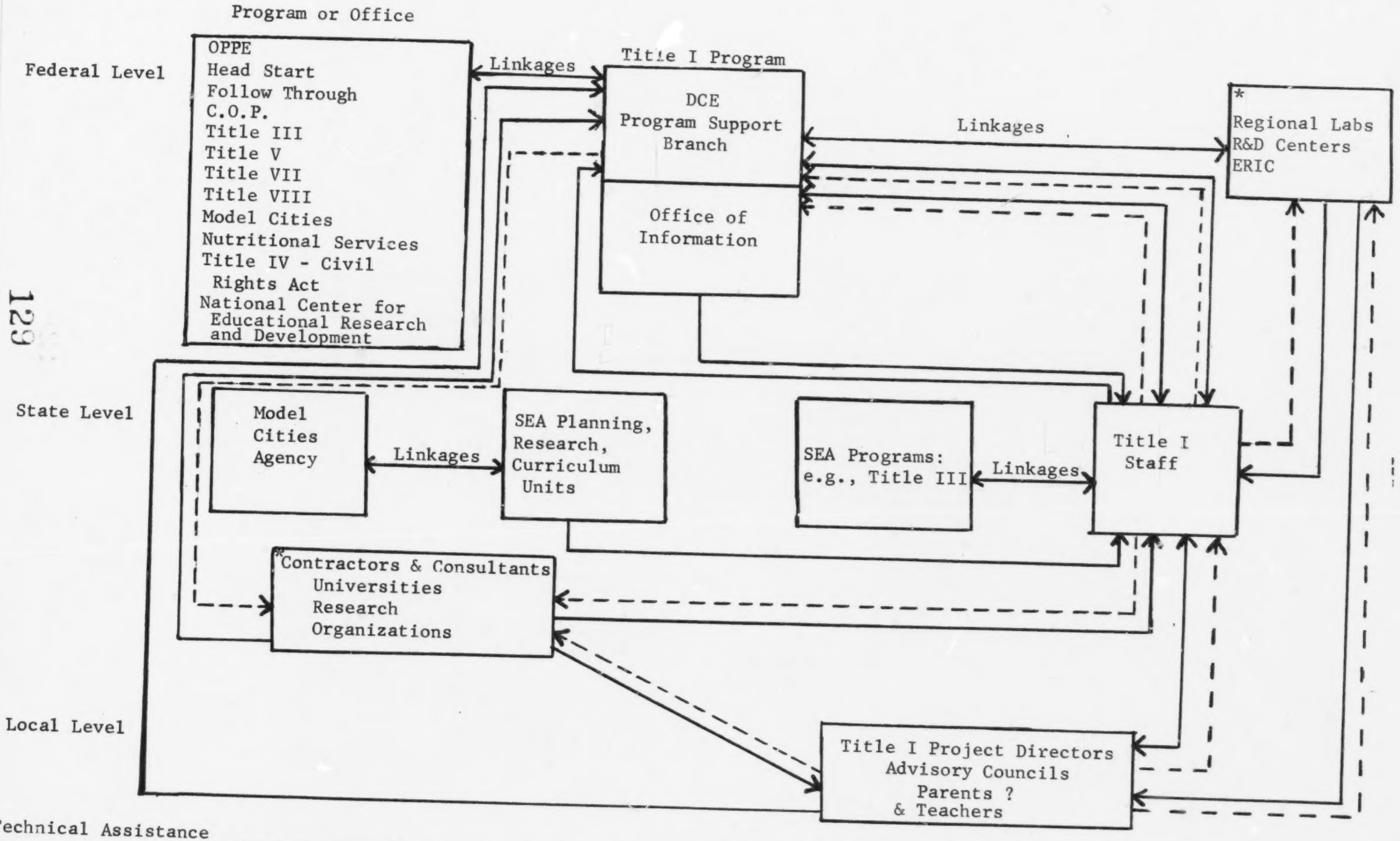


TABLE VII-4

Technical Assistance Network for Title I Program Operations

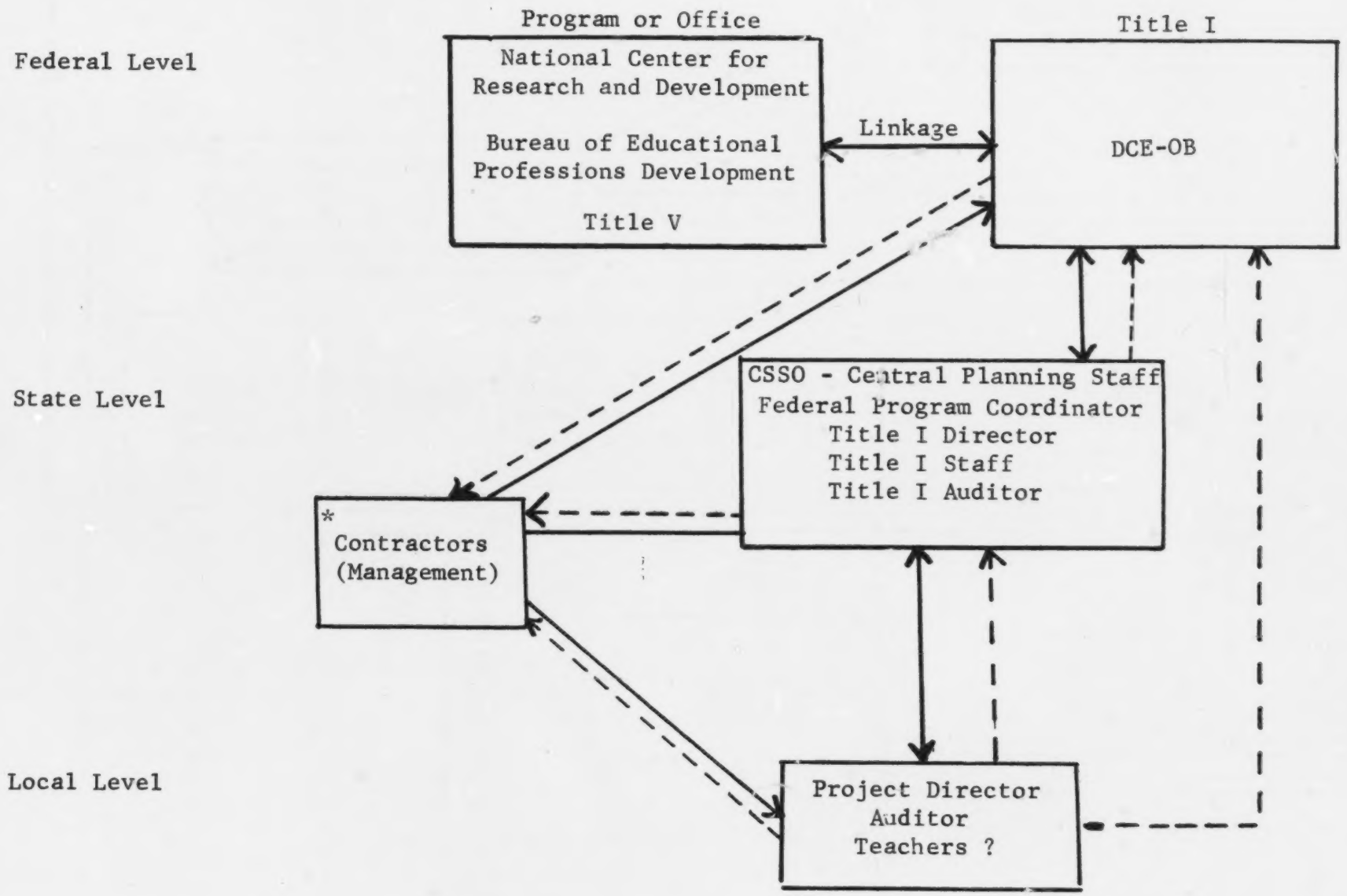
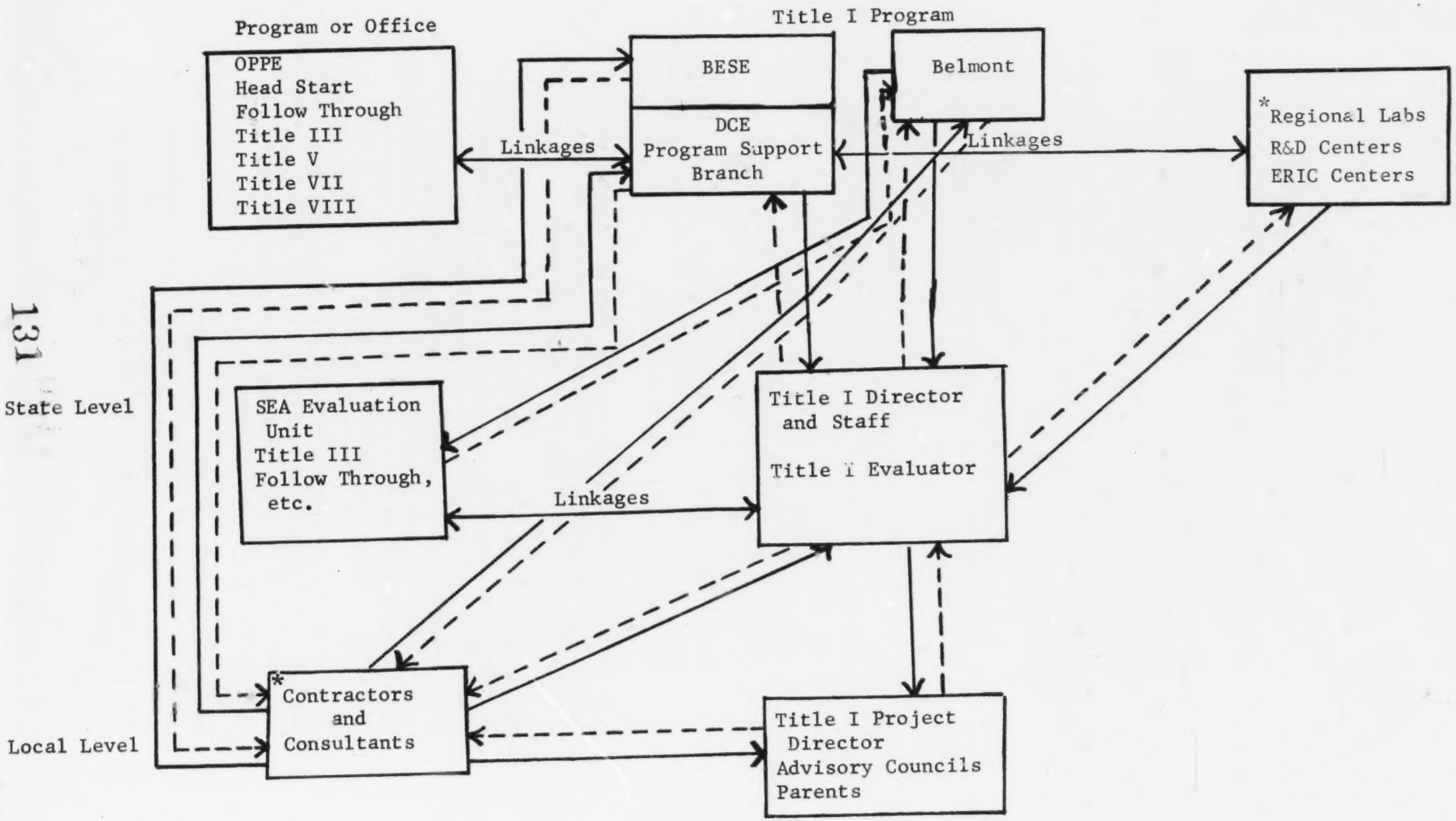


TABLE VII-5

Technical Assistance Network for Title I Evaluation




Technical Assistance _____

Evaluation of T/A _ _ _ _ _ _ _ _

* Services Purchased

E. General Findings Concerning Federal Technical Assistance

1. To date, the Federal Title I technical assistance effort has been limited mainly to the interpretation of Federal regulations and guidelines. To some extent, this is based on lack of demand, limited DCE resources, and past definition of DCE staff responsibilities.

2. Little attempt has been made by DCE to discover other approaches to technical assistance for compensatory education programs. In addition, no effort has been made to coordinate these activities.

3. No mechanisms presently exist to evaluate technical assistance efforts. For this reason, it is difficult to recommend with certainty delivery mechanisms for technical assistance.

4. Many sources for Title I technical assistance exist which have presently not been utilized, e.g., Regional Educational Laboratories, R&D Centers, ERIC.

5. If a person-to-person approach to technical assistance is adopted in the Title I program, a substantial amount of travel funds must be provided (whether the Operations Branch or the Program Support Branch is centralized or regionalized).

F. Long-Term Strategy for Federal Technical Assistance for the Title I Program

1. The Office of Education, in cooperation with several State Educational Agencies, should experiment with, and evaluate, a number of models of technical assistance to LEA's including

-- contracting with a few States to develop models of comprehensive technical assistance systems for all elementary and secondary education programs.

-- contracting with a Regional Lab (e.g., the Northwest Regional Lab now working with SEA's) and two-to-five State Educational Agencies to conduct a needs assessment for State technical assistance, set goals and priorities, specify objectives of technical assistance, develop delivery mechanisms, and obtain an objective evaluation of the cooperative effort.

-- contracting with several States where university departments are strong to try the Follow Through approach of developing program models and training LEA staffs in Title I projects.

-- contracting with several large LEA's to act as "master teachers" for small groups of LEA's. Each cooperative arrangement could involve a different type of technical assistance, to test not only delivery mechanisms but also technical assistance methods being used.

2. The Bureau of Elementary and Secondary Education should place particular stress on technical assistance with respect to project operations and technical assistance in design, execution, and use of project evaluation.

3. The Operations Branch should design the Title I Program Reviews as methods of delivery of technical assistance, in addition to using them for program monitoring. Follow-up technical assistance should be offered by the Operations Branch while on-site or through a report to the State Title I director. The report, suggesting sources for outside assistance, should also be sent to the Program Support Branch to alert the PSB staff to other programmatic or evaluative technical assistance needs.

4. The Program Support Branch should reassess annually the types of technical assistance currently in demand, general programmatic weaknesses that have been uncovered, and the current PSB staff capability to meet the needs identified. This assessment can be conducted through questionnaires to SEA's and to a sample of LEA's, and by analyses of the Title I Program Reviews and State Management Reviews.

5. The Program Support Branch should consult SEA's and LEA's to:

-- provide OE with basic information needed to develop and expand technical assistance mechanisms, e.g., major needs, difficulties, etc.

-- identify resource persons for technical assistance teams or regional or national "talent pools."

-- collect evaluative data on the kinds of technical assistance strategies that work best.

6. The Program Support Branch should eventually have a minimum of 30 professionals to provide specialized technical assistance in some of the following areas: evaluation, dissemination, reading, early childhood, bilingual, etc. It is impossible to determine what the mix of staff expertise should be, as staffing requirements will have to be constantly reappraised based on needs at the State and local levels.

7. To meet a wide variety of needs that exist in small school districts not benefiting from cooperative arrangements of LEA's, the PSB could develop an all-inclusive manual on project management and operations. The "accountability manual" prepared for Titles VII and VIII by the Division of Plans and Supplementary Centers could be used as a model. Discussion of all aspects of program management and operation is included, e.g., community involvement, technical assistance, needs assessment, change strategies, management systems, performance objectives, etc.

8. To keep decision-makers at the Federal, regional, State, and local levels informed of evaluation findings, the Belmont staff and the Program Support Branch should work with ERIC or contract for the establishment of a clearinghouse to provide model evaluation studies, non-experimental evaluation designs suitable for Title I project evaluation, and lists of contractors (indicating past work) that can be used by SEA's and LEA's in their evaluation efforts.

G. Next Steps in the Development of a Federal Technical Assistance System

1. OE should develop a plan to assess the impact of the technical assistance it provides. This task should be assigned at a level where there is no vested interest in any of the possible delivery mechanisms (e.g., Belmont). Effectiveness criteria (as determined by OE, SEA's, and LEA's) should be developed in the early stage of the Title I technical assistance effort to determine what approaches are working. In addition, the Office of Education should require that States include in their annual report an assessment of their technical assistance efforts, with appropriate plans for evaluating the following year's technical assistance efforts.

2. The Operations Branch should conduct a needs assessment and evaluation of its services. It is possible that new guidelines should be developed which would clarify such issues on community and parent participation, designation of target populations, use of health and nutritional services, etc.

3. In the remainder of this fiscal year, the Program Support Branch should:

-- assign one or two staff persons to work on the Airlie project. This could serve as a learning process to identify technical assistance needs at the local level, and determine whether OE can and would want to provide services directly to LEA's.

-- assign staff to accompany the Operations Branch staff in the SEA Program Review process (again to discover SEA needs and weaknesses).

4. The Information Office in DCE should work with Follow Through, Title III, Head Start, Title VII, Title VIII, and OPP&E staffs to identify models on program design, management, operation, and evaluation to disseminate to Title I programs and projects. It is possible that the Information Office can also design a manual on effective dissemination techniques for SEA and LEA use.

# VIII. STATE TECHNICAL ASSISTANCE FOR EDUCATION PROGRAMS FOR THE DISADVANTAGED: A REVIEW AND ASSESSMENT

The administration and supervision of federally supported programs have involved, since 1917, an increasing proportion of state educational agencies' activities. These programs have added to the clerical and service functions of State Departments, and in many ways have reinforced their leadership functions. Unfortunately, the state educational agencies in many instances have been unable to keep pace with the growing demands and needs for professional services. Few, if any, State Departments have been able to adequately staff themselves to provide the leadership so desperately needed and looked for on their part by the local educational agencies. 1/

## A. Introduction

One type of leadership that States can exercise in relation to local school systems is to provide technical assistance in the improvement of their programs. It is difficult to consider the kind of assistance which SEA's can provide in the Title I program, without including general State Department services to LEA's. Many of these more general efforts can aid Title I projects indirectly by strengthening the administration and operation of local school districts. Moreover, the effectiveness of many types of technical assistance may be enhanced, if the assistance is offered, in a comprehensive way: e.g., offering services to projects supported under a number of Federal programs; developing program models for a variety of clients; designing evaluations and data collection procedures for groups of LEA's. In addition, in light of staffing constraints, it may be inefficient and expensive to have a separate Title I technical assistance staff if other parts of the SEA are able to provide the assistance needed by Title I projects. For these reasons, this chapter addresses State technical assistance in general, with special emphasis on the Title I program.

The chapter begins with a general discussion of types of technical assistance appropriate for State Educational Agencies, constraints on State provision of technical assistance to Local Educational Agencies, and appropriate delivery mechanisms for State technical assistance. The chapter then discusses technical assistance operations in five representative State Educational Agencies, and concludes with recommendations for

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1/ Gilbert Austin, "Federal-State Partnership in Education," internal HEW memo, June 1, 1970.

improvement of State technical assistance to local education programs, especially to programs for education of disadvantaged children. Because problems vary from State to State, because staff competencies differ among SEA's, and because outside sources of technical assistance are not uniformly available to SEA's and LEA's, we do not attempt to devise a model system for delivery of State technical assistance.

B. Technical Assistance for Education Programs for the Disadvantaged: the State Role

1. Types of Technical Assistance Appropriate for State Technical Assistance Efforts

In Chapter VI, four general categories of technical assistance were identified. The same general areas identified as tasks appropriate to the Office of Education are also appropriate to the State level:

a. Assistance in interpretation of legal requirements. Because the Federal regulations are broad and leave much room for interpretation, and because problems vary so much from State to State, the State Departments should play important roles in communicating as clearly as possible the Federal (as well as the additional State) regulations and guidelines to LEA's. This type of SEA technical assistance will remain chiefly passive in nature. The amount of staff time spent on interpretation of guidelines can be reduced if the initial effort of disseminating clear regulations and guidelines is properly done.

b. Assistance in program planning and development. In relation to the project application process, the States clearly must assume responsibility in helping LEA's in writing the applications. The SEA's review project applications and should offer LEA's help if difficulties arise in their completion. It can be assumed that the greatest needs for this type of technical assistance will exist in small LEA's, where the administrative staffs are so small that problems arise out of lack of time or staff expertise.

Most big city school districts are able to employ subject-matter specialists of their own and hence do not look to the Federal or State governments for direction in program planning and development. At this point in time, it would be foolish to assume that programmatic technical assistance should be a high priority task for State Departments of Education, unless and until such technical assistance is shown to be in great demand.

c. Assistance in project operations. Assistance in project operations is a highly desirable State technical assistance function. Such assistance could be a key to the first step in program improvement: If a project can be managed efficiently, then it makes the task of effectively meeting educational needs an easier one. The SEA staff is in a good position to discover technical assistance needs in this area through an on-site monitoring system.

It would be less difficult to develop an SEA staff capable of delivering this type of technical assistance than to develop a staff capable of rendering useful programmatic technical assistance. Existing Title I staffs can be trained in systems analysis and management techniques. This type of technical assistance could not only improve the operation of a project but could specifically improve the LEA capability in both project application and project evaluation processes.

d. Assistance in project evaluation. There are two distinct types of technical assistance that SEA's can and should offer to LEA's in project evaluation: (1) help in reporting project results to fulfill OE requirements and (2) help in design and application of evaluation studies to improve or redirect individual local projects. At present, most SEA staffs should be able to accomplish the former but will have to develop in-house evaluation skills to provide sophisticated help in design and use of evaluation studies. This does not mean that SEA's should design all evaluation studies or train all LEA evaluation staffs, but, at a minimum, SEA's should be able to offer suggestions to LEA's about use of evaluation techniques and choices of consultants and contractors.

2. Constraints on State Provision of Technical Assistance

State Departments of Education have had difficulty in providing more than emergency assistance for local project operations. This is due primarily to the following factors:

a. Small staffs, large numbers of clients. Most SEA's are hindered in the delivery of technical assistance because the staffs are not large enough to handle the many requests for technical assistance in addition to their other assigned responsibilities. As a result, technical assistance either is a part-time activity for all members of Title I staffs (e.g., in Oregon), is handled by a limited number of staff people who cannot meet adequately all the technical assistance needs of LEA's, or is offered only on a selective basis.

SEA's have difficulty in offering active technical assistance to all LEA's in States having Title I projects. States have "solved" this problem by offering technical assistance by exception, e.g., only following up on problems identified through project monitoring, primarily offering passive technical assistance, offering assistance primarily to the largest LEA's (as in Oregon, Massachusetts, and New Jersey Title I programs) even though they are the LEA's with the most expertise, or concentrating State Educational Agency staff time on Title I projects in small LEA's (as in Pennsylvania).

b. Lack of funds, lack of staff skills. SEA staff strengths usually exist in the areas of curriculum and instruction; much less SEA expertise can be found in evaluation and management. This does not necessarily mean, however, that SEA's offer extensive technical assistance in program areas. In fact, New Jersey and Texas place little emphasis on assistance in program planning and development, while Oregon, Massachusetts, and Pennsylvania feel that this is an area which should be identified as an

SEA technical assistance responsibility. In many States, large LEA's have more qualified personnel than SEA's in program areas; therefore, only smaller LEA's with less expertise in program areas would need or request help from SEA's in program planning and development. Because SEA's have not been successful in recruiting sufficient numbers of individuals with expertise in evaluation and management (or have not trained present staff), they are limited to the amount of sophisticated technical assistance they can offer in those areas.

Lack of staff skills is closely connected with lack of funds for SEA's. State Educational Agencies are not competitive with universities, large LEA's, private businesses, or research groups, partly because of low SEA salaries. As a result, SEA's have difficulty in attracting enough competent persons who could provide technical assistance to LEA's.

c. Scheduling and timing of project activities. Many LEA requests for technical assistance occur on a cyclical basis, e.g., during the project application process and in the evaluation reporting period. As a result, SEA's are not able to adequately handle all LEA requests. In addition, just as it was noted in the evaluation section of the paper, technical assistance offered by State Departments may not meet the specific timing requirements of LEA's and, therefore, would have little impact on decisions related to the development and/or funding of the project.

d. Lack of clearly developed objectives and priorities for technical assistance. Because of the staffing problems mentioned above, the lack of specific objectives and priorities for State technical assistance efforts leads to what one SEA staff person called a "trouble-shooting" approach, i.e., serving only LEA's who are in extreme need, or to filling requests as they come in, and not evaluating the impact of the technical assistance provided.

e. Lack of methods of evaluating technical assistance efforts. It is difficult to recommend more effective ways of delivering technical assistance when there is no present way of assessing what types of technical assistance work best. At this time, there is no systematic way of evaluating SEA efforts; the only way that SEA's now know what types of technical assistance work best is through informal feedback from LEA's to SEA's on individual activities. (In New Jersey, for example, the instruction offered in the PERT system was considered a success because the LEA's asked for additional help in implementing it.)

3. Appropriate Delivery Mechanisms for the Types of Technical Assistance Offered by State Educational Agencies

Because there is presently no systematic way of assessing technical assistance activities, the following delivery mechanisms only represent the methods which appear to be most appropriate for (State) delivery of technical assistance to local school districts.

a. Interpretations of legal requirements. Each SEA should disseminate Federal regulations and guidelines and State regulations clearly and concisely in the form of a manual. Passive technical assistance can then be offered through telephone calls, through memoranda if additional interpretation is needed for many projects, and through conferences (preferably on a regional basis) for areas identified as needing special clarification (e.g., parent and citizen participation, comparability of local expenditures in Title I and non-Title I schools, non-public school participation, concentration of funds).

b. Program planning and development. In several States, LEA representatives are encouraged to visit the State Department staffs if they have difficulty in writing project applications. (Pennsylvania goes a step further: 12-16 Educational Development Centers give school districts technical assistance in preparing project applications.) In a small State, Title I staffs could be used as "circuit riders" to offer help to projects who have indicated need of help.

Given present and possible future SEA staff constraints, the State Title I office should concentrate its programmatic technical assistance on materials which could provide direction to projects, i.e., disseminating brochures and pamphlets on model projects with special emphasis on what is working well within the State, and providing lists of university and research consultants who can be used by the LEA's. In addition, SEA's can convene groups of LEA's to encourage the sharing of programmatic information. It is also possible that States can conduct teacher training programs on effective compensatory education projects. (Since Title I administrative money is limited, LEA's should be expected to pay for the last two services.)

More can be done using State newsletters as sources of information on new techniques developed and on innovative practices which have shown at least a modicum of success. Title I staff could work with SEA curriculum and research staffs to provide inputs for the newsletters.

c. Project operations. The project monitoring process can serve both as a means of identifying technical assistance needs and as an occasion for offering help--either on the spot or as a follow-up to the monitoring. States could also conduct regional workshops to instruct LEA's in management systems, budgeting techniques, etc. Again, SEA's should encourage LEA's to contract for such services by supplying lists of contractors who have a record of accomplishment in design and implementation of management system.

d. Evaluation. State Educational Agencies should devise evaluation manuals with checklists for reporting procedures and also for the development of evaluation studies. (SEA's should expect a good deal of help from the Office of Education on the development of such manuals.) The manuals should be designed to tie together all aspects of the projects: needs assessment, statement of goals and objectives, measurement of progress toward objectives, etc. If necessary, evaluation training programs should be conducted by the States.

SEA's should disseminate information on evaluation reports and should encourage LEA's to develop cooperative arrangements to pool evaluation resources to conduct more comparable project evaluations. SEA's should also supply LEA's with lists of contractors who have a record of accomplishments in design and execution of evaluation studies.

C. Past and Present Technical Assistance in State Departments of Education

This section briefly reviews State technical assistance operations, on the bases of Urban Institute visits to State Departments of Education in Massachusetts, New Jersey, Oregon, Pennsylvania, and Texas; interviews with DCE staff; and study of literature used by various States as technical aids to local districts.

Because technical assistance needs as well as State Department expertise vary from State to State, it is difficult, if not impossible, to develop a general model for organizing SEA technical assistance efforts. In some States, technical assistance is offered to Title I projects chiefly by the SEA Title I staff. In other States, several units play roles in providing assistance to LEA's. In New Jersey, the Division of Grants Management works closely with the large LEA's in management areas; little is done for small LEA's. In Texas, a similar situation exists in that the Division of Funds Management clearly emphasizes interpretation of guidelines and fiscal activities because of the numerous compliance problems in the State. In Oregon and Massachusetts, Title I staff and program specialists throughout the SEA provide technical assistance to LEA's. Pennsylvania involves many SEA units in technical assistance: the Division of Compensatory Programs, the Division of Planning and Educational Development Centers, and the Division of Evaluation.

Table VIII-1 is a brief summary of the types of technical assistance provided by each of the five State Departments visited. The Urban Institute site visits to the five State Departments revealed that:

-- a large percentage of the SEA staff time devoted to Title I is consumed in interpretation of regulations and assistance in the project application process

-- instructions for preparation of Title I project applications are based solely or in large part on OE guidelines (Program Guide #44)

-- none of the States visited has developed a system for assessing the impact of their technical assistance efforts.

Pennsylvania and Oregon provide the most comprehensive technical assistance during the project application process. Pennsylvania uses 12-16 regional Educational Development Centers to help LEA's in following Title I guidelines and defining project objectives in behavioral terms. Pennsylvania also holds statewide and regional workshops on program planning and on meeting OE evaluation requirements.

TABLE VIII-1

Past and Present Technical Assistance Provided by Five State Departments of Education

| Categories of Technical Assistance | States | | | | |
|---|---|---|---|---|---|
| | Massachusetts | New Jersey | Oregon | Pennsylvania | Texas |
| Interpretation of Legal Requirements | Reproduce and circulate OE guidelines. | Use OE guidelines. | Disseminate Guidelines for Instruction for Title I, ESEA. | 12-16 regional Educational Development Centers provide help in interpreting guidelines. | Interpret guidelines, conduct workshops on comparability guidelines, give telephone guidance on developing performance objectives. |
| Program Planning and Development | Discussions and negotiations with LEA on project applications.<br>Heavy emphasis: one-half of site visits in FY 1969 devoted to program planning and development. Also use telephone. | Encourage LEA visits to SEA for help in preparing project applications.<br>SEA Task Forces headed by Division of Curriculum and Instruction. SEA-LEA Consortium for the 26 large LEA's. | Regional workshops and telephone calls used in project application process.<br>Programmatic technical assistance provided indirectly and occasionally by specialists from General Education Division during Title I monitoring. | 12-16 regional Educational Development Centers provide help in project application process.<br>Division of Compensatory Programs holds workshops in program planning.<br>On-site visits result in commendation of outstanding projects, which are then described in brochures. | Working with 35 local school districts in program development.* |
| Project Operations | No technical assistance on project operations presently; SEA would like to offer help. | Heavy emphasis on in-instruction in PERT for the 26 large LEA's. | None. | Some indicated. | None indicated. |
| Project Evaluation | Massachusetts Advisory Council on Education prepared directory of specialists in evaluation, for LEA use. Series of evaluation workshops. (SEA contracted for preparation of State evaluation report.) | Little assistance given to date. | Little indicated. | Workshops and materials for LEA's, on techniques of setting behavioral objectives and measuring progress in meeting the objectives. | Regional Service Centers aid LEA's in data collection. |

* From 1969 State Management Review.

Oregon publishes all information on regulations and project applications in one publication called Guidelines and Instructions for Title I, ESEA. Regional workshops are held annually in the spring to communicate OE directives for the following school year. Also, telephone calls and field visits are arranged to help projects with proposal writing.

Texas, like Oregon, holds workshops and uses telephone assistance in the project application process. LEA's to be assisted are selected on a first-come, first-served basis. Again, as in Oregon, site visits are scheduled if additional help is required.

In Massachusetts, LEA's are encouraged to contact the Title I staff if assistance is needed. Each project is assigned to one of the five SEA Title I staff members, who negotiates differences with LEA's if necessary.

In New Jersey, the 26 largest school districts are required to submit, with their project application, a work schedule and a PERT network. The SEA is assisting the 26 large LEA's in the use of PERT techniques. On the other hand, little help is given to small LEA's in the project application process. County superintendents visit projects when trouble is identified; otherwise, their project applications are reviewed by "helping teachers" on the county superintendents' staffs. LEA's are encouraged to send representatives to the State Department to negotiate differences over project applications.

Oregon and Massachusetts have developed little or nothing in the way of assistance in project management; while New Jersey has concentrated almost total Title I staff effort in development and use of PERT systems, Texas has emphasized accountability and improvement of fiscal operations, and Pennsylvania has worked with LEA's in developing behavioral objectives.

Three States (Oregon, Massachusetts, and Pennsylvania) offer a good deal of help in program planning and development, while New Jersey does not attempt to help LEA's in this area. Texas offers some help to small LEA's by helping them plan their projects. The 1969 State Management Review for Texas indicated that in 1969 the Texas State Department worked with 35 local school districts in the planning phase of their projects.

The least technical assistance is given in project evaluation: New Jersey and Oregon are doing nothing; Texas is doing very little (except in using Title III regional service centers to aid LEA's in data collection), and Pennsylvania conducts training conferences for on-site evaluators that may have some side-benefits to local project evaluation. Massachusetts has developed a directory of researchers who can be used by LEA's as evaluators, and has held a series of workshops conducted by consultants on the evaluation of reading projects, on attitude measures, and on the use of unobtrusive measures.

Some other types of technical assistance offered by the SEA's are: subscription to the ERIC system for LEA use (Massachusetts), annotated resource file and bibliographies on behavioral objectives (Pennsylvania), monthly Title I bulletin, which includes bibliographies and special information related to Title I (Massachusetts).

D. Conclusions and Recommendations on Improvement of State Technical Assistance Efforts

The technical assistance now being offered by State Departments of Education is for the most part informal and inadequate to meet the needs of Local Educational Agencies. The Urban Institute study of five State Departments indicated that some promising and seemingly effective techniques are being employed, but so far none has been properly evaluated to determine the impact on clients served. It was also discovered that many State Department staff members were unaware of technical assistance mechanisms and approaches being tried in their own SEA's, in LEA's throughout their States, or by other State Educational Agencies.

SEA's should overcome their "one-dimensional" view of technical assistance, i.e., delivered vertically from SEA's to LEA's. Instead, States should consider providing and receiving technical assistance horizontally. SEA's not only try to initiate cooperative arrangements among LEA's, but also should try to develop cooperative arrangements with other SEA's to share expertise among SEA staffs. Such approaches would not only develop staff competencies in the agencies involved but also enable SEA's to provide technical assistance more efficiently and systematically to groups of clients.

One problem that cannot be solved easily is how a limited number of SEA staff can serve a large number of clients with a variety of problems. SEA's should develop clearer objectives and priorities for technical assistance based on their staff capabilities and local needs.

We conclude that most State technical assistance to Local Educational Agencies is passive rather than active, generally being limited to interpretion of Federal and State guidelines or assistance in the project application process, on request, and that State Educational Agencies typically have no system for evaluation of the effectiveness of their technical assistance activities. We recommend that State Educational Agencies adopt an active, rather than a passive, technical assistance strategy; in particular,

(1) that State Educational Agencies establish and test cooperative SEA-LEA efforts in which State Educational Agencies would assist school districts, e.g., in program management;

(2) that SEA's encourage cooperative LEA arrangements to share knowledge and expertise among Local Educational Agencies;

(3) that State Educational Agencies provide Local Educational Agencies guidance in stating project objectives in behavioral terms, provide technical assistance to Local Educational Agencies in project evaluation, and provide local auditors with training and guidance in auditing local projects;

(4) that SEA's compile and keep updated lists of consultants and contractors who can assist local educational agencies in project development or project evaluation;

(5) that SEA's assign the same staff to monitor all aspects of the operations of projects which are of similar size, serve similar populations, and have similar objectives; and

(6) that SEA's develop systems for follow-up and evaluation of the effectiveness of their technical assistance activities.

No systematic attempt has yet been made to assess the impact of technical assistance provided to the SEA or the technical assistance provided by the SEA. State Department staffs could make a substantial contribution by identifying their greatest needs and providing data on the extent to which these needs are being met by various types of technical assistance from OE. SEA's can also help by identifying mechanisms that they have used to provide technical assistance to others and by evaluating the efficacy of their technical assistance efforts.

# IX. TECHNICAL ASSISTANCE FOR EDUCATION PROGRAMS FOR THE DISADVANTAGED: THE LOCAL ROLE

The present study focused on Federal and State evaluation and technical assistance. This concluding chapter contains some observations on the local role in technical assistance efforts designed to improve the education of disadvantaged children.

In exploring Office of Education and State perceptions of Local Educational Agency (LEA) technical assistance needs, four major areas of technical assistance have been identified:

1. Interpretation of Title I guidelines and regulations:

   -- Designation of target populations

   -- Comparability of local expenditures in Title I and non-Title I schools

   -- Selection of children and identification of their educational needs

   -- Community involvement

   -- Non-public school children

2. Program planning:

   -- Teacher training

   -- SEA and LEA staff development

   -- Program areas: reading, mathematics, bilingual, early childhood

   -- Comprehensive planning

3. Program management:

   -- Use of systems analysis

4. Evaluation:

   -- Longitudinal testing

   -- Collection and dissemination of "hard data"

   -- Cost-effectiveness studies

   -- Project rating

A. Observations on the Local Role in Technical Assistance

Some insights into the role of LEA's in providing technical assistance to other LEA's, to SEA's, and to the Office of Education have been obtained from Urban Institute interviews with members of the Office of Education, from site visits to the State Educational Agencies in Massachusetts, New Jersey, Oregon, Pennsylvania, and Texas, and from interviews and a conference conducted by the Great Cities Research Council. It is expected that the results of a survey by the Institute for Services to Education could substantially extend and make more complete a consideration of the Local Educational Agency as a recipient and as a source of technical assistance.

The interviews and site visits revealed that insufficient attention has been given to the capabilities of LEA's to provide technical assistance to other LEA's, SEA's, and the Office of Education. While it is currently impossible to state precisely the extent of the contribution that LEA's could make, there is some evidence that it would be worthwhile to consider developing new mechanisms (or using existing ones) so that LEA's can more fully cooperate with the Federal and State levels by sharing the expertise they have developed in providing technical assistance to projects.

Any discussion of LEA technical assistance capabilities must distinguish between larger and smaller LEA's. In larger cities, where as a group local personnel are more expert than State personnel in several types of technical assistance activities and where local personnel often are paid more than their counterparts in State agencies, technical assistance from the SEA has consisted primarily of the interpretation of Title I guidelines and regulations. In other areas, such as assistance in evaluation, SEA's have been of little help to large cities in developing research designs for longitudinal evaluation, or in collecting and disseminating "hard data." 1/

On the other hand, smaller districts appear to have benefited from whatever technical assistance expertise the SEA possessed and was able to supply. Several State representatives interviewed indicated that smaller LEA's often are unable even to write project proposals without a great deal of SEA assistance. The point is that in several areas some larger LEA's may possess the

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1/ This observation is based on conversations at the Office of Education-Institute for Services to Education Conference on Technical Assistance April 27, 1970.

capabilities to deliver technical assistance directly to other LEA's. The "recipient" LEA's would usually, but not necessarily, be smaller than the "donor" LEA. Such a procedure would be of obvious advantage to the State, which would be freed to devote proportionately more time to providing other kinds of technical assistance and to developing its own expertise in different areas of technical assistance (primarily program management and evaluation).

A large LEA might serve as a sort of "master teacher" in providing technical assistance to a cluster of smaller LEA's. Whether or not the LEA is able to contract directly for this technical assistance may not be as important as the feeling that a service is being provided "horizontally" rather than "vertically." The feasibility of this approach should be tested by selecting as a demonstration site a large LEA which has developed a good working relationship with both its SEA and neighboring school districts. The SEA should view the technical assistance cluster as a demonstration site for developing techniques that may be useful in other areas of the State.

B. Types of Technical Assistance Activities Most Appropriate to Local Efforts

Can one identify areas and ways in which LEA's can provide useful technical assistance to LEA's, SEA's, and the Office of Education? The evidence collected thus far seems to indicate the following:

1. Larger districts possess the greatest capabilities in the area of program planning and, increasingly, evaluation. Most LEA's would appear to be becoming more proficient in program management but are currently unable to provide much technical assistance in this respect.

2. LEA's appear well equipped and anxious to provide the Office of Education with basic information necessary to develop and expand technical assistance (by identification of major needs, problem areas, etc.). For example, LEA's could contribute to the strengthening of the Project Descriptor effort in the Belmont system by nominating promising local projects with similar objectives serving similar groups of children. LEA's also can help to broaden the Project Descriptor effort by making similar nominations of schools. In this way, we would be able to learn which schools were producing the best outputs for which types of students. Finally, LEA's can make a significant contribution in the identification of resource persons for technical assistance teams (in program planning, program and project administration, and evaluation).

C. Conclusions and Recommendations Concerning the Local Role in Technical Assistance

1. Of great importance is the necessity of assessing the impact of those types of technical assistance that are provided by the Office of Education, SEA's, and LEA's to each other and to projects. Although LEA's do not seem to have been asked to contribute much to this assessment, it would appear that they have some important contributions to make. For example, if a position of "technical assistance generalist" is to be

created in a Federal or State agency, the staff requirements might best be defined by LEA's.

2. Several LEA's have devised imaginative ways to use existing funds and develop competent research and evaluation personnel which are not known to other LEA's (or even the SEA). States should support LEA efforts to become knowledgeable about these techniques. Money from existing school budgets should be designated for specific activities (e.g., training in systems analysis, travel to participate in workshops, etc.) to increase the awareness of local project staffs. Consortia of LEA's should be organized on regional or statewide bases, to train evaluation personnel and provide technical assistance to participating school districts.

3. While local staffs are encouraged to visit one another, the intent is usually to observe a "model" for possible incorporation in the observer's school district. The Division of Compensatory Education should help LEA's develop cooperative arrangements to share local and State expertise. OE should earmark EPDA money specifically for in-service training to develop and provide various kinds of technical assistance.

4. Several LEA's probably could be encouraged by OE and/or by SEA's to alter existing organizational arrangements to give more recognition to the importance of activities related to technical assistance. The Office of Education should support pilot grants to LEA's willing to experiment with the establishment of cooperative arrangements with other LEA's in order to share expertise developed in providing technical assistance to individual projects. 2/

5. LEA's will be under increasing pressure to translate research findings into meaningful data for parents, to train community residents to participate in parent advisory groups, and to develop ways for teachers, parents, administrators, and students to work together to develop project goals at the local level. LEA's can perform a valuable function for SEA's and for the Office of Education by identifying the most effective of these procedures so that the SEA and Office of Education can disseminate these strategies to other LEA's. Of course, LEA's also can be of assistance by disseminating news of useful strategies to other school districts.

These observations and conclusions are summarized in Table IX-1, which lists those areas in which LEA's might be used to provide technical assistance to the Office of Education, State Educational Agencies, and other local districts.

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2/ At the Great Cities Research Council conference, some Title I research directors and coordinators suggested the creation of a training task force for those districts which elect to use industry assistance and/or performance contracting.

TABLE IX-1

Classification of LEA Technical Assistance Capabilities by Functional Area and Recipient [a]

| Interpretation of Legal Requirements | LEA to OE | LEA to SEA | LEA to Other LEA's |
|---|---|---|---|
| Assistance in Program Planning and Development | Identification of resource people for technical assistance teams. | Identification of resource people for technical assistance teams.<br><br>Larger LEA's can provide consultative services and disseminate information on successful program planning strategies and materials (e.g., workshops). | Larger LEA's can provide consultative services and disseminate information on successful program planning strategies and materials (e.g., workshops). |
| Assistance in the Improvement of Program/Project Administration | Identification of resource people for technical assistance teams. | Identification of resource people for technical assistance teams. | |
| Assistance in the Design and Use of Evaluation | Identification of resource people for technical assistance teams.<br><br>Nomination of promising local projects with similar objectives serving similar groups of children to strengthen the Project Descriptor effort in the Belmont system. | Identification of resource people for technical assistance teams.<br><br>Nomination of local schools serving similar groups of children as a first step toward learning which schools were producing the best outputs for which types of students.<br><br>Many LEA's have developed imaginative ways to increase the supply of competent researchers. | Nomination of local schools serving similar groups of children as a first step toward learning which schools were producing the best outputs for which types of students.<br><br>Many LEA's have developed imaginative ways to increase the supply of competent researchers. |

a/ Gaps in the table indicate that LEA's have not been identified as playing a major role in providing technical assistance to the indicated recipient in the functional area in question.

In each of the functional areas, LEA's are in a strategic p ition (and possess unique abilities) to assess the impact of the types of technical assistance provided by all sources.

D. Other Research on the Local Role in Technical Assistance

Research efforts of the Institute for Services to Education and the Great Cities Research Council should add to the information presented here and sharpen the picture of the local role as a provider of technical assistance.

1. Institute for Services to Education

The study by the Institute for Services to Education (ISE) presents data on the kinds of technical assistance individual projects have requested and received from cities, States, and the Office of Education. 3/ A Conference on Technical Assistance also has been held to identify major program assistance needs, existing technical assistance efforts and problems, model technical assistance programs, and names of working level persons who might later serve on technical assistance teams.

The ISE staff intended to visit summer projects and to secure information that would assist in the development of a "talent pool" of persons who can provide technical assistance in various program areas. The ISE staff will also attempt to identify the most valuable methods for the delivery of technical assistance, including the expected role of the Office of Education.

In the third phase of the study, technical assistance will be provided to districts and local project staff by: 4/

(1) Convening a workshop for members of the national "talent pool" in order to formulate the role of its members. The workshop will be conducted by members of the Institute for Services to Education research study team and others and will have the following five objectives:

a. To develop techniques for working with various groups;

b. To develop methods of determining goals of programs;

c. To develop techniques for gaining community involvement;

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3/ See Herman Howard, "Results of Title I Technical Assistance Study," Institute for Services to Education. The ISE study consists of three phases: problem definition and interpretive analysis (included in this report) and implementation (to be completed by December 31, 1970).

4/ This statement is taken from an ISE document.

d. To gain familiarization with guidelines for Title I;

e. To promote awareness of administrative structure and the proper "chain of command."

(2) Holding three regional conferences for local educators on the priority areas identified at the Phase I Conference. Participants would include representatives from 50 urban Title I areas, members of the national "talent pool" and Office of Education and Institute for Services to Education staff.

2. Great Cities Research Council

The study by the Great Cities Research Council focused on evaluation at the local level. Interviews with Title I research directors and Title I coordinators were designed primarily to identify successful Title I projects and successful evaluations of Title I projects, and to provide data on such topics as evaluation problems identified, evaluation practices used, the usefulness of research data, etc. 5/ However, some attention also was devoted to requests for technical assistance in evaluation. Respondents were asked to identify the sources relied upon and to make an assessment of the quality of technical assistance received.

The data indicate that almost all the respondents had asked for technical assistance in evaluating their Title I projects, with most requesting it for about half their projects (some in all). Most frequently relied upon were local colleges and universities, with nonprofit research organizations, research councils, and regional educational laboratories of some use. SEA officials were considered to be of minor usefulness in providing such technical assistance.

Further analysis of the data collected by the Great Cities Research Council and by the Institute for Services to Education may make it possible to be more precise about the technical assistance needs and kinds of contributions local, State, and Federal education personnel can make in providing various types of technical assistance to each other.

5/ The Great Cities Research Council also sponsored a Conference of Title I research directors, Title I coordinators, curriculum specialists, teachers, and administrators on June 7-9, 1970.